University of Alberta

Requisites for Effective Decanal Leadership

by

Sharon R. Bookhalter

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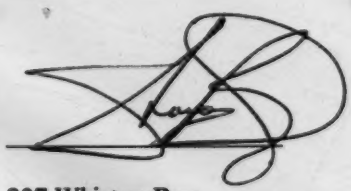

807 Whiston Bay
Edmonton, AB
T6M 2H6

Date: Sept. 1, 1999

University of Alberta

Faculty of Graduate Studies and Research

The undersigned certify that they have read, and recommended to the Faculty of Graduate Studies and Research for acceptance, a thesis entitled **Requisites for Effective Decanal Leadership** submitted by **Sharon R. Bookhalter** in partial fulfillment of the requirements for the degree of Master of Education in Administration of Postsecondary Education.

M. B. Andrews, Supervisor

J. L. da Costa

D. J. Sande

Date: August 31, 1999

Abstract

The goal of this qualitative inquiry was to examine the role of the Dean with the intent of determining the necessary requisites for effective decanal leadership. A case study method was employed to investigate a dean who was deemed to be performing effectively. Respondents representing the faculty, the student body, central administration and the community-at-large, were incorporated.

The findings revealed that the Dean's leadership capacity was based on a clear understanding of his role and of the issues surrounding faculty operations. As chief executive officer, the Dean's responsibilities included these functions: overall faculty management, setting direction, securing resources, raising the profile of the faculty, maintaining harmony, and fostering teaching and learning. The Dean was characterized as attentive to detail, credible, astute, committed, and humble exhibiting a leadership style which was congruent with the expectations of faculty members. A capacity to translate vision into reality served as a determining feature of the Dean's effectiveness.

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CHAPTER ONE

Introduction and Statement of the Problem

Background

Leadership within an educational institution on the cusp of the twenty first century is undeniably a demanding and challenging responsibility. This is particularly true given the current climate of rapid knowledge and technological advancement, diminishing economic resources and greater public scrutiny. Although the impact of leadership within an organization has been questioned (Pfeffer, cited in Immegart, 1988) the value of effective leadership to an institution cannot be ignored.

The essence of leadership has been the subject of much discussion and investigation. Various theories have been postulated in an attempt to articulate the necessary ingredients for effective organizational administration. Individual traits, styles and behavioral approaches, for example, have been associated with successful leadership. The notion that effective leadership is contingent on the nature of the organization and its setting has also been introduced. The need, therefore, to explore the determinants of leadership capacity within a particular institutional setting is implicit.

The interest of this study is devoted to the realm of administration within the university setting. More specifically, the leadership role inherent to the position of dean. As the recognized head of a particular faculty, the leadership responsibilities of this position are indisputable. Since a university is generally made up of a number of individual faculties, it could be suggested that the role of dean within a Canadian university may be analogous to the role of provincial premier within a federated Canada. Certainly many of

the challenges facing academies of higher learning must also be faced by the individual units within those institutions. Most students and faculty members recognize a dual allegiance--to their faculty and to their university. In fact, it could be argued that most university constituents spend the majority of their time engaged in activities pertaining to their respective faculties. It is from having served as a faculty member within a Canadian university for 12 years that I have observed the impact that the dean's leadership can have on the ability of the faculty to advance its goals in support of the university's overall mission.

Most of the literature regarding leadership in higher education has focused on the role of the university or college president. Works by Birnbaum (1992), Fisher (1984), Kerr and Gade (1986) and Vaughan (1994) are of particular note. Very little research, however, has focussed on the position of dean yet the importance of the leadership capacity of this position within the university community has not been overlooked. Birnbaum (1992), for example, noted that within large, decentralized universities, deans were recognized as campus leaders more than any other individuals including the president. Investigating effective decanal administration, therefore, provides an opportunity to study leadership behavior in an academic position where it is certainly warranted.

Purpose

The purpose of this study was to focus on the role of the dean in order to gain insight into the necessary parameters for effective academic leadership. The intention being: (a) to contribute to the existing knowledge base concerning leadership within an

educational institution, (b) to provide an accurate portrayal of the role and responsibilities of the dean, and (c) to serve as a stimulus towards the development of more effective leaders at the faculty level and within the university community in general.

Identification of the Research Problem

What are the necessary requisites for a dean to be perceived as being effective? This was the central question surrounding this study. Owing to the complexity of the issues surrounding leadership, it was my intention not to limit the study to the investigation of one or two variables. Yukl (1981), Birnbaum (1992), Immegart (1988) and Burns (1978) all suggested a more comprehensive approach to research on leadership whereby a variety of facets are considered.

Sub-Problems

In order to address the research question posed, the following sub-questions served to guide this study:

1. What is the perception of the role of the dean from the perspective of the dean?
2. What is the perception of the role of the dean from the perspective of faculty members and other individuals outside of the faculty?
3. What personal characteristics of the dean are viewed as contributing to his or her effectiveness?
4. What leadership behaviors or style is positively associated with effectiveness.
5. What situational events are seen as either contributing to or hindering leadership effectiveness?
6. Performance in what areas are associated with an effective tenure as dean?

Definition of Terms

In order to assist the reader, the following definitions of terms utilized throughout this study are provided.

Academic. Referring to the environment of academia. In this case, the educational setting of a university.

Central Administration. Referring to the group of officers responsible for the general supervision and direction of university operations. These responsibilities include overseeing: (a) the academic work of the university, (b) the instructional staff of the university including the deans of all faculties, and (c) the business affairs of the university. Typically, officers affiliated with central administration include the university president, vice presidents and associate vice presidents.

Dean. The recognized head of a particular faculty at a university.

Department Chair. The recognized head of a department within a departmentalized faculty.

Faculty. A formal subdivision within a university responsible for the administration of programs and related courses in connection with a particular field of study.

Leadership. The capacity of the leader to induce followers to act.

Effective leadership. Whereby the actions of the leader are seen as meeting the expectations of both the leader and followers and are consistent with the overall goals of the institution.

Parameters. All significant elements or characteristics.

Role. The behavioral expectations associated with a person's position.

Researcher Beliefs

My beliefs regarding leadership have been shaped, to a large extent, by my experience as a faculty member, my work within health care organizations, service with volunteer associations, and exposure to worldly events. It was in my estimation that a dean who is viewed as effective would most likely elicit an open, forthright and participatory style of leadership in which faculty members would feel informed and incorporated into the decision making functions of their faculty. This approach conveys an atmosphere of trust and mutual respect and, to me, embodies the collegial nature of the academy valuing equality of opinion and opportunity. Furthermore, I envisioned the effective dean as being able to convey a sense of purpose which embodies the ideals of the faculty as well as its individual members. The ability to integrate individual and faculty goals should foster a sense of satisfaction in the workplace and in turn generate greater creativity and commitment which will ultimately reflect positively on the faculty and its dean. Owing to a belief that an effective dean would be able to clearly articulate the collective expectations and concerns of the faculty and thus promote a sense of harmony, it was expected that there may be less ambiguity expressed concerning the perceived leadership role of the dean. Due to my belief in the basic goodness of the individual and of the necessity for integrity in leadership, I expected the effective dean to perform in a highly ethical and responsible manner. Care was taken not to allow these opinions to distort the nature of the data collected or the manner of analysis conducted. Specific steps to ensure the trustworthiness of the information obtained in this study are described in Chapter Three.

Significance of the Study

The need for studies based on actual leaders in actual situations has been stressed in the literature (Burns, 1978; Coladarci, 1980; Immegart, 1988). The intent of examining the leadership role of the dean "in-situ" was to identify the perceived requisites for effectiveness under real circumstances. By examining the quality of decanal leadership from a variety of perspectives, utilizing a case study design, it is felt that a more complete "picture" was arrived at. The findings of this study have both theoretical and practical relevance. Analysis of the data gathered allowed for discussion and application of current theory regarding leadership behavior. It is anticipated that this descriptive study will serve to add to the body of knowledge on decanal leadership within Canadian universities by bringing clarity to the role of the dean in the current environment, and by providing perspective regarding leadership capacity. The descriptions provided have potential transferability to other leadership situations--particularly within academic institutions. The framework developed from the findings of this study may be useful to individuals currently engaged in leadership positions as well as serve to guide aspirant deans. It is certainly hoped that the conclusions drawn will stimulate discussion and further research and ultimately assist in the development of future academic leaders.

Organization of the Thesis

This thesis is composed of six chapters. Chapter One has served to introduce the nature of the study and of the research question investigated. Chapter Two provides an overview of the literature reviewed to inform this study. Works related to leadership theory, the role of the dean, and contextual models implicit in educational settings for

higher learning, are reviewed. Chapter Three outlines the research design and method employed in conducting this study. A description of the participants and the setting utilized is also provided. Chapter Four describes the findings and Chapter Five provides a discussion of these findings in relation to the literature. Conclusions reached in the conduct of this study and recommendations regarding future action are included in Chapter Six.

CHAPTER TWO

Review of the Literature

This chapter provides an overview of the various scholarly works which were examined relative to the research problem investigated. The literature reviewed reflects three areas of inquiry: (a) theory related to leadership effectiveness, (b) investigations pertaining to decanal leadership and the role of the dean, and (c) contextual models implicit in the organization of higher education.

Leadership Theory

There is a proliferation of literature on the subject of leadership. Despite this, no universal theory has been formulated that can predict or explain effective leadership in every organization. The various approaches proposed over time can be categorized as: (a) trait theories, (b) behavioral theories, (c) power and influence theories, and (d) contingency theories.

Attributes Associated with Effective Leaders

Although it has been suggested that no specified traits have proven essential for successful leadership (Bensimon, Neumann, & Birnbaum, 1989; Chliwniak, 1997), the tendency to associate certain characteristics with effective leaders is common. Attributes frequently cited include intelligence, integrity, decisiveness, diligence and self confidence (Fisher, 1984; Gardner, 1990; Stogdill, 1974). Bass (1990), noting the significance of particular patterns of traits, identified determination, persistence, self confidence and ego strength as pivotal to leadership capacity. Stogdill (1974) categorized clusters of characteristics distinguishing effective from non-effective leaders. The categories related

to their: (a) intelligence and ability, (b) personality, (c) task related characteristics, and (d) social qualities. From the consistencies revealed in the data isolated in these categories, Stogdill characterized an effective leader as follows:

> The leader is characterized by a strong drive for responsibility and task completion, vigour and persistence in pursuit of goals, venturesomeness and originality in problem solving, drive to exercise initiative in social situations, self confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other persons' behavior, and capacity to structure social interaction systems to the purpose at hand. (p. 81)

Stogdill's notion that a grouping of characteristics held more prescriptive value for effective leadership than one singular attribute received support in subsequent studies. Bennis (1997) identified four areas of competence consistent in successful leaders: (a) an ability to attract people's attention and draw commitment, (b) make ideas tangible and real in order to garner support, (c) convey a sense of trust through reliability and constancy, and (d) leaders know their own abilities and develop them effectively.

Studies specific to the field of education administration have also highlighted particular attributes consistent in effective leadership situations. Jones and Holdaway (1995) noted in their investigation of university department chairpersons that being trustworthy, collaborative, and decisive were viewed as essential or very important personal traits. Administrative skills rated highly included communication, problem solving and time management. Even Birnbaum (1992), who discounts the value of correlating personal attributes with successful leadership, acknowledged the importance of integrity. Owing to the idealistic and humanistic component characteristic of educational endeavors, the necessity for leadership within university settings to represent the moral

consciousness (Hodgkinson, 1991) of the organization is understandable.

The concept of charismatic leadership (House, 1977), also recognizes the significance of a particular combination of traits. Charismatic leaders are viewed as having "insight into the needs, hopes, and values of followers and are able to create a vision that motivates commitment to the leader's policies and insights" (Yukl, 1989, p. 25). Characteristics attributed to these leaders include self confidence, personal magnetism, eloquence in speaking, high energy levels, potent persuasive abilities, steadfast determination and a belief in the moral righteousness of their views (Bass, 1990; Field, 1998; House, 1977). More than just identifying specific traits, the notion of charismatic leadership recognizes the importance of leadership behavior in connecting with the organization's constituents. The significance of articulating a shared vision is implicit.

Behavioral Approaches

Behavioral approaches have focussed on the nature of administrative work (Mintzberg, 1980) as well as styles of leadership behavior (Blake, Mouton, & Williams, 1981; Likert, 1967). Mintzberg, for example, separated administrative activities into interpersonal, informational, or decisional responsibilities. That these tasks would dictate the type of role behavior required was implied. Numerous taxonomies have been utilized to identify contrasting leadership approaches. These include: (a) autocratic versus democratic, (b) directive versus participative, (c) nomothetic versus idiographic, and (d) task versus relations oriented leadership. The usefulness of leadership behavior isolated within one approach has received significant criticism. It is generally acknowledged that most leaders require elements from both approaches (McGregor, 1967) to be effective.

The Ohio State leadership studies (cited in Hanson, 1996) identified two categorizations of leadership behavior: (a) initiating structure, and (b) consideration. Leadership focussing on initiating of structure involves establishing policy, strategic planning and defining patterns of organization. Consideration includes behaviors indicative of friendship, mutual trust and respect between a leader and members of his or her staff. Gallimore-McKee's (cited in Chliwniak, 1997) analysis of these two concepts with respect to faculty perceptions regarding their chief administrative officer suggested that both a high structural orientation and a high focus on consideration was desirable. Yukl (1989) suggests, however, that empirical research provides only limited support for the position that leaders rated highly in both areas are more effective.

Plotting a leader's concern for institutional performance in relation to his or her concern for people was the focus of Blake, Mouton, and Williams (1981) academic administrator grid. Their framework provides a useful tool for understanding the variance of leadership styles within a university environment. Within their grid, they identified five distinctive styles: (a) team administration, (b) comfortable and pleasant administration, (c) constituency-centred administration, (d) authority-obedience administration, and (e) caretaker administration. They suggested that a team administration approach, which allows for a high concern for both institutional performance and people, provides the soundest strategy for university administrators.

Dimensions of Power and Influence

Power and influence theories explain leadership effectiveness by determining the type and extent of power and influence and the degree to which it is utilized. French and

Raven (1968) identified five types of power: (a) reward, (b) coercive, (c) legitimate, (d) expert, and (e) referent. Dispensing gifts or bonuses, for example, is consistent with utilizing reward power to gain compliance with leader initiatives. Acquiescence in the avoidance of perceived punishment is congruent with coercive power. Legitimate power recognizes the entitlement of the leader, owing to his or her position, to direct the actions of others. Compliance based on acknowledgment of the leader's proficiency is consistent with expert power. Constituent admiration for the leader serving as the stimulus towards performance is the focal point of referent power. Effective leaders were shown to rely on expert and referent power to a greater extent than ineffective leaders (Podsakoff & Schriescheim, 1985; Chemers, 1997).

The nature of the leader's skills in influencing behavior constitutes the other half of the power influence duality. Corresponding to the taxonomy listed above, the use of: (a) personal appeals, (b) pressure tactics, (c) legitimate requests, (d) exchange tactics, and (e) rational persuasion (Yukl, 1989) are mechanisms which the leader may be seen to employ. The influence process, however, should not be solely perceived as unidirectional but also consider the mechanisms through which leaders and followers influence each other. The concepts of transactional and transformational leadership (Burns, 1978; Bass, 1985) are of particular note.

Transactional and transformational leadership. Transactional theory views leadership as "a mutual and reciprocal process of social exchange between leaders and their followers" (Bensimon et al., 1989, p. 74). This exchange often involves trading rewards in order to secure the necessary performance. Sergiovanni (1990) referred to this

dynamic as leadership by bartering. The entire process is based on following the existing organizational structure with efforts focussed on the achievement of current performance goals. Transformational leadership involves altering the existing pattern of the organizational effort. The focus is on change. Whereas the transactional leader accepts and maintains the organizational milieu as it exists, the transformational leader transforms organizational patterns of performance by introducing new beliefs and goals (Field & House, 1995; Quinn, Kahn, & Mandl, 1994). The leader focusses on arousing the interests of followers with the intent of motivating them to a higher level of commitment and performance. Leadership dimensions associated with this approach include: (a) personal charisma, (b) an ability to inspire and motivate, (c) stimulating creativity and intellect, and (d) demonstrating individualized consideration for members of the organization (Chemers, 1997; Schermerhorn, Hunt, & Osborn, 1997).

Reference has been made to both transactional and transformative forms of leadership within educational settings. In the context of educational restructuring, Hanson (1996) noted that transformational leadership can be particularly beneficial. Both Gardner (1990) and Penney (1996) emphasized the need for academic leaders to be "change masters" in order to interpret shifts in societal values and cope with technological advances. Citing demographic changes as their rational, Cameron and Ulrich (1986), perceived the need to transform the types of programs offered and the delivery mechanisms utilized. Nevertheless, Hahn (1996), reflecting on the role of university president, highlighted the basic managerial functions associated with transactional leadership as critical to success. Bensimon et al. (1989) found that effective transactional

leadership was usually responsible for directing most colleges and universities. They suggested that a transformative approach was not compatible with the structures and values found in settings of higher education. As Birnbaum (1992) noted, "because the goals and enduring purposes of an academic institution are likely to be shaped by its history, its culture and the socialization and training of its participants, rather than by an omnipotent leader, attempts at transformational leadership are more likely to lead to disruption and conflict than to desirable outcomes" (p. 29). Despite this skepticism regarding the possibility of transformational leadership within higher education, Bensimon (1994) suggests that there appears to be an imperative for its manifestation.

Contingency Theories

The notion that variables exhibited within the organizational situation determine the mode of leadership behavior required, is reflective of contingency theories. Various models (Hersey & Blanchard, 1988; Kerr & Jermier, 1978; Vroom & Jago, 1988) have been developed relating leadership styles to particular situational conditions. Fiedler (1967) linked the leader's behavior--categorized as either task or relationship oriented--to the favourableness of the situation. "Situational favourableness" related to: (a) the quality of relations between leader and followers, (b) the degree to which the task is well structured, and (c) the power of the leader's position (Owens, 1991). Hersey and Blanchard (1988) also utilized the task and relationship orientation of leadership behavior but related it to the subordinates maturity or "readiness" level. They assessed the maturity level of subordinates according to two factors: their ability--knowledge, experience and skills; and their willingness--confidence, commitment and motivation. Their model

identified four levels of subordinate readiness and matched the following leadership styles accordingly:

Leadership through telling - when followers are unable and unwilling.
Leadership through selling - when followers are unable but willing.
Leadership through participation - when followers are able but unwilling.
Leadership through delegation - when followers are able and willing.
(Bolman & Deal, 1997, p. 301)

Hersey and Blanchard (1988) postulated that as a subordinate matured, the leader's behavior would move from telling, to selling, to participatory, and finally to delegating whereby a capable subordinate is willing to take responsibility for decisions and actions. These models, although useful in providing context for leadership effectiveness, may have limited applicability (Yukl, 1989). The assumption that there is a particular way to act in a given situation may be somewhat naive. Both Yukl and Chemers (1997) indicate that subsequent research has been inconclusive in validating these two (i.e., Fieldler, 1967; Hersey & Blanchard) approaches.

There is some evidence (Floyd, 1985) to support the usefulness of the Vroom-Yetton model within the setting of higher education administration. The level of participation required in the decision making process is the focus of this contingency model. Vroom and Yetton (1973) identified five different leadership strategies for decision making involving either autocratic, consultative or group (democratic) processes. The decision of the leader in choosing to invoke a particular strategy is based on his or her assessment of the following factors:

1. The importance of the quality of the decision.
2. The sufficiency of the information available to the leader.
3. The sufficiency of the information available to others in the organization.

3. The extent to which the problem is structured.
4. The necessity for others to accept the decision prior to its implementation.
5. The likelihood of others accepting a decision made autocratically.
6. Whether the organizational goals attained by solving the problem are shared.
7. The likelihood of conflict over preferred solutions. (Field, 1998; Owens, 1995; Vroom & Yetton, 1973)

The methodology recommended related to either a positive or negative appraisal of these factors. Their criterion provided a logical basis for selecting an appropriate leadership approach in order to maximize effectiveness under specific conditions. The Vroom-Yetton model, according to Yukl (1989) is the best supported of the situational models. The usefulness of this model, however, is limited owing to its restricted focus on only one element of leadership--decision making.

Synopsis

This selected review of leadership theory has served to identify various dimensions pertaining to the effectiveness of leaders. As was mentioned at the outset, no one theory can predict or account for effective leadership in all situations. Nevertheless, leadership attributes, style, dimensions of power and influence, and situational aspects, are parameters which deserve consideration. Recent development of integrated theory attempts to draw upon these various facets in an attempt to identify their interrelationship by recognizing points of convergence. Yukl (1989) suggested four areas of leadership whereby the theories could be looked at in combination in order to reveal consistencies. They were: (a) maintaining effective relationships, (b) gathering and using information, (c) making decisions, and (d) influencing people. Chemers (1997) integrated theory into two separate categories: (a) functional aspects and (b) leadership process. Functional

aspects of effective leadership included image management, relationship development and resource utilization. As Chemers explains:

> Image management recognizes that individuals who wish to function in a leadership role must present themselves in ways that legitimize their authority. They must, in effect, look and act like effective leaders. Relationship development refers to the necessity for leaders to motivate and direct the activities of followers. The resource utilization facet acknowledges that team and organizational performance ultimately depends on the leaders ability to apply effectively the resources of self and followers to task accomplishment. (p. 153)

In respect to leadership process, Chemers' model depicted three zones in which to address commonalities: (a) the interface between leader and the environment, (b) transactional interaction between the leader and followers, and (c) follower action and organizational performance. Although helpful in revealing consistencies as well as discrepancies between various theoretical orientations, these attempts at integration confirmed the need for further research.

The Role of the Dean

Works related to the role of the dean are, in fact, limited. Those that are available range from personal accounts and advice from current or previous deans, to studies focussing on various elements of decanal leadership including the responsibilities of the dean, styles of management, and criteria for effectiveness.

Experiential Accounts

Experiential accounts (Daugherty, 1998; Kirk, 1997; Newsome, 1997) provide insight into the position and offer useful guidelines but are lacking in broad empirical evidence. Based on his experience as dean of a medical school, Daugherty stresses the need to focus decanal efforts toward organizational goals rather than on personal

aspirations. His notion that members of the collegium are sceptical and ambivalent in their regard to administration resides with his belief that the current academic culture rewards individual achievement rather than group performance. Both Daugherty (1998) and Green (1988) noted the unfavourableness of this type of environment toward the development of effective administrators, acknowledging that most academic leaders have had to adapt to the position and "learn administration" on the job. Both authors stressed the need to promote leadership which is strong and enduring.

Tucker and Bryan's (1991) publication relies heavily on anecdotal discussion to offer guidance to current and aspiring deans. Characterizing the dean's role as a "dove, dragon and diplomat," they outline three parameters of activity: (a) intervening among faculty coalitions that are creating an unacceptable level of disorder; (b) dispelling internal and external factions posing a threat to the faculty's integrity, value system, or financial well being; and (c) guiding, inspiring and encouraging faculty members toward excellence.

Functional Aspects

Dill (1980) emphasized the political and social aspects of the decanal role. Basing his analysis on Barnard's (1938) notable work, he stressed the need for the dean to ensure that faculty contributions outweigh the inducements offered. Dill suggested that deans have three major functions: (a) to provide a sense of purpose which will serve to integrate the constituents interests; (b) to create incentives to facilitate new or continued contributions to the institution. (Incentives may include money, status, acknowledgement of satisfaction, or further allocation of human talent and energy); and (c) to efficiently transform the constituents' participation and contributions into educational products and

services. Although this classification may be too broad for critical analysis, it was Dill's intention that it be utilized as a basis for further inquiry into the changing nature of the decanal role. Morsink's (1987) analysis concerning the critical functions of higher education administrators also recognized the importance of drawing together constituents in aspiration of organizational objectives. She noted the significance of: (a) demonstrating leadership through word, personal example, and policy development in order for the faculty to focus on its mission; and (b) providing support, including advocacy, to faculty members. In Cyphert and Zimpher's (1980) survey of deans of education, responsibilities associated with decanal activity cited frequently included organizational undertakings, staff development, liaison and public relations, program development, and budgetary matters. Interestingly, the activities of the dean as perceived by university provosts was also solicited. These findings echoed those of the surveyed deans, recognizing the importance of program development, staff development and organizational activities.

Dill's (1980) suggestion that deans function within the realm of "middle management" has also received support (Cyphert & Zimpher, 1980; Griesbach, 1991; Lasley & Haberman, 1987). That the dean must respond to the requirements of faculty members but also answer to officials responsible for the administration of the university is inferred. This is made difficult, according to Griesbach (1991), by the differing nature of these two groups. He suggests that whereas faculty members value autonomy and self control, administration values tight controls.

Profiling the Dean

Studies by Cyphert and Zimpher (1980), Anderson and King (1987), and Vanderveen (1988) provided a profile of the deanship by assessing various demographic characteristics. Focussing on deans of pharmacy faculties, Vanderveen's (1988) findings typified previous profiles (Cyphert & Zimpher, 1980) of the dean as predominantly a "50 year old, white, male" with an established record of academic achievement "as measured by publication record, tenure status, and professorial rank" (p. 146). Beyond providing basic information concerning the type of individual serving as dean, a definitive linkage between demographic descriptors and efficacy has not been made. Videka-Sherman, Allen-Meares and Yegidis (cited in Allen-Meares, 1997), for example, found that personal characteristics were less predictive of success than situation-specific factors.

Yedidia (1998) interviewed 22 current or former deans of medicine. Findings from his qualitative study revealed certain qualities which were cited by respondents in descriptions of successful deans. Highly valued were the abilities to be: (a) open to diverse points of view, (b) flexible yet act decisively, (c) prideful in the accomplishment of others allowing them to succeed, and (d) willing to accept delayed gratification with respect to job satisfaction. Reflecting on the "magnitude and pace of change" within health care, Yedidia's assertion that the dean must be patient with process and tolerant of ambiguity may have relevance to leadership within other academic settings as well.

Administrative Styles

Utilizing Hersey and Blanchard's (1988) situational leadership theory as a basis for their investigations, both Sharrow (1989) and Womack (1996) examined the preferred

management styles of deans of nursing faculties. Sharrow (1989) found that a leadership style characterized by a high task and high relationship orientation dominated and was considered to be effective. Womack (1996) found a "participating" style characterized by low task and high relationship behavior predominant in 61% of the deans surveyed. A "selling" leadership style characteristic of high task and high relationship conduct was identified by 36% of the deans. Subjects in both studies indicated a moderate degree of leadership style adaptability. In a related fashion, yet more broadly based, Cummiskey (1993) attempted to determine the influence of initiating structure and consideration on the leadership styles of academic deans from a variety of institutions of higher education. He noted that deans who reported exercising high initiating structure and high consideration behaviors were perceived as being more effective by their faculty than deans whose behavior was rated lower in these dimensions. Nevertheless, Cummiskey suggested that his study did not support the conclusion that behavior characterized by a high level of initiating structure and a high level of consideration was the "best" leadership style.

Other studies have focussed on singular dimensions of decanal activity. The decision making styles employed by deans was the focus of McCarty and Reyes (1987) qualitative investigation. Utilizing four modes of governance--collegial, political, bureaucratic, and organized anarchy--as their framework, perceptual data concerning decanal behavior was obtained by interviewing chairpersons within one large university. Although the data suggested that all of the modes of governance listed above were exercised, the predominant style utilized was collegial.

The nature of decanal influence has also been the subject of inquiry. Griesbach

(1991) explored the type of administrative control employed by deans. He suggested that deans employ three types of "tight" or hierarchical controls: (a) regulating the amount, use, and flow of resources; (b) evaluating faculty with respect to research, teaching and community service; and (c) formulating and enforcing policy. Non-hierarchical controls involved appealing to institutional goals and traditions. Griesbach found that although deans utilized multiple means of influence, hierarchical forms of control were employed to a greater extent than non-hierarchical forms. Barker (1984) found that the influentialness of deans increased in proportion to the degree of contact with their constituents. She identified four categories of influential behavior: (a) utilizing rewards and punishments, (b) encouraging participation and trust, (c) appealing to a common vision, and (d) assertive persuasion. Deans rated as most influential utilized assertive persuasion and employed rewards or punishments more frequently than those rated as least influential. Yedidia (1998) also noted that exercising control over resources and the dean's power of persuasion were important mechanisms for generating faculty allegiance. Other sources of leverage identified included the degree of authority and support vested in the dean from central administration and the power associated with determining faculty appointments.

Comprehensive Appraisal

A more comprehensive investigation into the characteristics displayed by deans who were deemed effective was conducted by Martin (1993). She recognized the following functions critical to decanal performance: (a) as cultural representatives of their colleges or universities, (b) as communicators striving for greater efficiency and more inclusive communication structures and processes, (c) as skilled managers, (d) as planners

and analysts, and (e) as advocates for the institution and cultivators of relationships with various groups and individuals on campus. Martin noted that the personal values of the deans were closely allied with the ideals and mission of their respective institutions. Close attention to communication processes ensured that these ideals were conveyed, but also allowed the dean to receive input from faculty members. Managerial skills highlighted related to organizing, delegating, and budgeting processes. According to Martin, deans who received the greatest faculty and administrative support had established a clear, methodical, planning process which incorporated participation from various university constituents. Interaction and consultation with other administrators both within and external to their respective institutions was also noted.

Evaluation of Decanal Ability

Evaluative studies (Matczynski, Lasley, & Haberman, 1989; Lasley & Haberman, 1987) identified critical elements of decanal performance from the perspective of constituents and administrative supervisors. By considering aspects in the appraisal of deans, role expectations were revealed concerning matters of supervision, knowledge, problem solving, communication, personnel and resource management, academic standards and affirmative action. Lasley and Haberman (1987) surveyed vice presidents and vice chancellors in an attempt to determine the relative importance of certain factors in evaluating deans of education. Their findings suggested that the dean's ability to attract, keep and reward high quality faculty was valued most by central administration. That the dean is seen to stimulate faculty productivity, initiate new programs and emphasize scholarly development and research also rated highly. Matczynski, Lasley, and

Haberman (1989) conducted a similar study but focussed on gaining the perceptions of academic faculty members. In this case, communication skills were ranked as most important. The dean's ability to articulate the faculty's needs and direction, particularly to faculty constituents and to key members of the university's administration, was highly valued. Other areas of significance included the dean's capacity to secure the necessary human and physical resources in order to foster academic activities, as well as the dean's role in maintaining standards through faculty promotion and tenure. These studies, once again, reinforced the notion of a dean as operating in the "middle"--attempting to represent both the interests of central administration as well as those of the faculty.

Challenges

Current and prospective challenges facing deans were alluded to in some of the works reviewed. Daugherty (1998) offers a "checklist for the dean" to assist deans in "surviving and thriving" within the current environment. The increasing difficulty of reconciling academic values with market forces has received attention in recent literature (Kwong, 1993; Vale, 1994; Yedidia, 1998). Owing to a growing number of multi-disciplinary efforts, Daugherty suggested that greater collaboration is required between leaders and institutions. He contends that: "the successful dean is one who is active, is dynamic, and can meld persuasion with educational statesmanship, always informed by vision of how the school can prosper and serve" (p. 653).

Contextual Frames

Expectations of leadership are often revealed by examining the context or frames of reference (Bolman & Deal, 1991) evidenced in the university and manifested by both

leaders and constituents. As an institution, the university is similar to other organizations in that it is characterized by structure, policy and procedure. There are, however, many features unique to the academic enterprise. Chiefly among these features, according to Cohen and March (1988) is a certain goal ambiguity. The difficulty in pinpointing goals relates to the complexity in establishing what the "product" of education should be. Other aspects pertain to the ramifications of client service, the largely professionalized staff, the need to incorporate increasingly advanced technology, and the susceptibility to environmental influences (Baldridge, Curtis, Ecker, & Riley, 1988). Within the milieu of higher education, collegial, political, bureaucratic, and cultural manifestations are evidenced (Bensimon, 1994; Bensimon et al., 1989) and deserve description.

Collegial Perspective

The university, often regarded as a "community of scholars" (Downey, 1996) suggests an atmosphere of collegiality. Within this context, consensus, equality of opinion and opportunity, and shared responsibility are valued. According to Chliwniak (1997), traditions and informal power are emphasized whereas differences in status are de-emphasized. Leadership within this realm fosters the creation of an organizational climate which encourages creativity, personal growth and participatory decision making. Leaders are expected to listen, to gather opinions and to be open to influence (Bensimon et al., 1989). Aptitude for communication and interpersonal skills, according to Baldridge et al. (1988), takes precedence over technical problem solving skills. They suggest that negotiation and compromise are the trademarks of this type of leader who is characterized as being more modest and realistic. Leadership effectiveness would reside in the ability of

the leader to encourage participation in administrative processes and to facilitate consensus in decision making.

McCarty and Reyes (1987), as earlier identified, obtained perceptual data indicating the prevalence of decanal collegial decision making activity. Seventy-three percent of respondents presumed the collegial model "to be the way things work." Given their single case design, however, these findings cannot be generalized. The existence of collegial leadership in higher education administration has generally not been questioned, yet its prevalence and effectiveness has. Baldridge et al. (1988) suggest that "the collegial image of round-table decision making is not an accurate description of the processes in most institutions" (p. 19). The suggestion that collegial approaches are used to frame what are, in reality, political or bureaucratic decisions, is made. Criticism regarding collegial leadership often centres around its ability to deal effectively with adversity and conflict (Baldridge et al., 1988; Bensimon et al., 1989). Nevertheless, higher levels of faculty morale and satisfaction have been associated with a collegial form of leadership (Rice & Austin cited in Bensimon et al., 1989). Hardy (1996) refers to the importance of collegial processes in the instigation of change at universities. She suggests that: "when moved by collegiality, individuals are willing to sacrifice personal or group interests in favour of an overarching identification to the institution" (p. 199).

Political Perspective

The political realities inherent to administrative processes within institutions of higher learning cannot be ignored. Internally, decision making often involves various (i.e., administrative, academic, student) groups of individuals, each with their own agenda. As

governments become increasingly preoccupied with funding issues and corporate sponsorship of university endeavors continue to develop, their influence on university decision making increases (Hardy, 1996). Bolman and Deal (1997) identify the following aspects as characteristic of a political frame of reference:

> 1. Organizations are coalitions of various individuals and interest groups.
> 2. There are enduring differences among coalition members in values, beliefs, information, interests, and perceptions of reality.
> 3. Most important decisions involve the allocation of scarce resources.
> 4. Scarce resources and enduring differences give conflict a central role in organizational dynamics and make power the most important resource.
> 5. Goals and decisions emerge from bargaining, negotiation, and jockeying for position among different stakeholders. (p. 163)

Within the setting of higher education, networking, negotiating and coalition building are characteristic of the political realities (Bensimon, 1994; Chliwniak, 1997). Theories of power and influence mentioned earlier are particularly relevant. The political perspective, according to Hardy (1996), "recognizes that power can be mobilized to promote common goals as well as self interest, and to prevent conflict as well as to prevail in the face of it" (p. 10). The manner in which power is exercised by those in leadership positions, may determine the degree to which constituents demonstrate commitment, mere compliance or resistance (Yukl, 1989).

The perception of power associated with the position of dean and the degree of influence exerted by that person in order to bring about a desired outcome warrants attention. This might include acting as a "catalyst" (Whetton & Cameron, 1985) in building support from faculty members or as a diplomat in resolving issues of conflict. Baldridge et al. (1989) characterize a leader within this framework as a "statesman" who

utilizes a cabinet form of administration. Expertise and information is utilized in setting organizational direction. Access to information is a key determinant of the dean's acquisition of power (Hardy, 1996). The manner in which information is disseminated or the decision making processes utilized, reflect the utilization of power (Owen, 1992). As university constituents often associate more strongly with their faculty than with the institution as a whole, influential activities of the dean, as the recognized head of the faculty, deserve recognition. Baldridge et al. (1988) include: (a) political astuteness and manoeuverability, (b) interpersonal dynamics, and (c) coalition management as necessary leadership skills. The need for the dean to be cognizant of, and respond to, the internal and external sources of power and influence affecting the operations of the faculty and the university is implied.

Bureaucratic Perspective

That institutions of higher learning such as the university are characterized by a plethora of rules and regulations and a defined hierarchical structure of administration is well recognized. The functionality of these features cannot be ignored yet the term "bureaucracy" often conjures up negative images. The tendency of bureaucracies to respond slowly to change in the environment is alluded to by Bolman and Deal (1997). They note the contradiction whereby "individual professors may be at the forefront of their specialities while the institution as a whole changes at a glacial pace" (p. 66). Owing to the complexity of the university as an institution, the need for structure and organization--features of a bureaucratic frame--is understandable. "People-processing" aspects, alluded to by Baldridge et al. (1988), such as record keeping and registration, enable the university

to effectively manage its student population. Attention to rationality and efficiency of systems characterizes this structural viewpoint. A bureaucratic institution, according to Bensimon (1994), is characterized by: (a) clear goals; and (b) a relatively closed system, insulated from external influences. Lack of attention to the dynamics both within and external to the organization has been a major criticism of this frame of reference. As Baldridge et al. (1988) note: "the bureaucratic model tells us much about authority--that is, legitimate, formalized power--but not much about informal types of power and influence, which may take the form of mass movements or appeals to emotion and sentiment" (p. 17).

Leaders, from a bureaucratic perspective, are often defined by their position in the hierarchical lines of authority. Involvement in decision making, professional competence, and perceived exercise of power are other parameters identified (Birnbaum, 1992). In this model, leaders are generally regarded, according to Chliwniak (1997), to be results oriented and decisive in approach. "Emphasis is placed on setting priorities, making orderly decisions, and communicating through established lines of authority" (Birnbaum, 1992, p. 64). The dean, according to McCarty and Reyes (1987), is recognized as the faculty's authoritative figure, exercising power through mechanisms such as budgetary control. Leaders are expected to possess a "unique set of skills" with emphasis placed on problem solving ability and technical knowledge regarding the workings of the institution (Baldridge et al., 1988). The influence of the bureaucratic perspective, according to Bensimon et al. (1989), is reflected in rational interpretations of a leader's managerial capabilities. The perceived importance of the dean's capacity to manage faculty affairs has

already been acknowledged (Martin, 1993).

Cultural Perspective

Organizational culture and symbolism provides another perspective for analysis. The values, ideals, traditions and history of the university are demonstrative of the institutional culture. Emphasis is placed on shared meaning and institutional doctrine. A cultural or symbolic (Bensimon, 1994; Bolman & Deal, 1997; Owen, 1992) frame of reference, examines leadership within this context. The culture of an institution is often reflected in ceremonies, symbols and rituals (Bolman & Deal, 1991). Within the university environment, the traditional rituals associated with graduation ceremonies are readily indicative of this. Chaffee and Tierney (1988) offer a more encompassing view of organizational culture which includes structural, environmental, and value dimensions. In addition to reflecting on the "beliefs and priorities" held by members of the institution, they noted the impact of community influences on the activities of the university.

Depiction of the university as an organized anarchy (Cohen & March, 1974) has been associated with a symbolic frame of reference (Bergquist, 1992; Bensimon et al., 1989). As Bergquist (1992) notes:

> Just as the three characteristics attributed . . . to the anarchical institution--problematic goals, unclear technology and fluid participation--are all descriptive of the collegial culture, so are the symbolic frame's reliance on precedent, informal roles and symbolic functions. (p. 229)

As Bolman and Deal (1991) suggest, "faced with uncertainty and ambiguity, human beings create symbols to resolve confusion, increase predictability and provide direction" (p. 244). That a cultural frame of reference is especially useful in educational institutions,

characterized by fluidity in organizational life, is implied. Reflecting on the sustainability of the collegial culture, Bergquist (1992) noted its "blend of flexibility and ambiguity, on the one hand, and stability and predictability, on the other" (p. 229).

Appreciating the role that culture plays in organizations of higher education may be fundamental to effective leadership (Birnbaum, 1992; Cooper & Kempner, 1993; Vaughan, 1994). As a symbolic representative of a faculty, the dean's activities may be evaluated pertaining to his or her ability to embody and articulate shared values and meanings (Owen, 1992). Bernier (1987) associated effective leadership with symbolic acts representing the cultural climate of the faculty and the university.

Leaders, according to Birnbaum (1992), "emphasize a symbolic frame when they use language, myths, stories, and rituals to foster shared perceptions and beliefs" (p. 64). Providing a sense of organizational purpose through interpreting and reinforcing institutional values (Bensimon, 1994) appears critical. Chliwniak (1997) suggests a strong correlation between transformational leadership and "cultural management of higher education" (p. 63). In this sense, commitment and motivation to change may be generated through articulation and augmentation of existing values.

Integration of Contextual Frames

It has been put forward that bureaucratic, political, collegial and cultural dimensions are recognizable within the university environment. The effectiveness of academic leaders may, in fact, be related to their ability to incorporate all of these dimensions into their activities. Bensimon et al. (1989) and Birnbaum (1992) suggest that leaders utilizing a multi-frame perspective can be considered "cognitively complex." They

suggest that this complexity is necessary in order to interpret and react appropriately to organizational events. As Birnbaum (1992) suggests:

> Leaders who view their organization through only one of the four [frames] are likely to have an unbalanced understanding of their institutions. . . . A dean who sees only through a collegial frame is likely to view problems--and solutions--in terms of group action and concern for people and to forgo, for example, an opportunity to reach others that would be clear to a leader using a symbolic frame. (p. 64)

Greater comprehensiveness in assessing problems and, in turn, greater flexibility in developing alternative solutions, through recognition of the four frames described in this section, is implied.

Summary

The relative merits of a variety of leadership theories have been explored. Attributes, behaviors and strategies employed by effective leaders have been considered. Through investigation of power and influence mechanisms, the concepts of transactional and transformational leadership were conveyed. Various models associated with contingency approaches to leadership were highlighted with specific emphasis placed on applicability to higher education. Finally, integrated theories were identified as a means of considering the consistencies between these various approaches.

Literature pertaining to the role of the dean was reviewed from a variety of perspectives. Experiential accounts were considered as were studies of an empirical nature. Most of these works targeted one area of exploration, such as the identification of a preferred managerial style. Contemporary comprehensive accounts were limited.

The importance of recognizing the contextual frames of reference relevant to the

university setting was stressed. Collegial, political, bureaucratic and cultural dimensions were explored with a view to identify their relationship to leadership processes.

Despite an abundance of research pertaining to educational administration, very little has focussed on the efficacy of the academic dean, particularly within Canadian universities. Certainly there is a need to explore the decanal role more fully while being cognizant of contextual frames of reference and drawing in theory of leadership effectiveness. Coladarci (1980), emphasizing the need for a case study approach to research on academic administrators, encouraged studies of "deans-and-deanships-in-context that are maximally inclusive of the known and hypothetically relevant parameters of person, inter-person, institutional processes, and agenda" (p. 130). To-date, very few have taken on his challenge.

CHAPTER THREE

Method

This chapter describes the method employed in the conduct of this study. The strategies utilized in the collection and analysis of the data are provided along with appropriate rationale. A general description of the respondent group and the setting which provided the background to the investigation is included. Consistent with appropriate ethical guidelines governing the conduct of this research, identifying information was withheld in order to protect the confidentiality of the participants. Issues concerning the trustworthiness of this study are considered with particular emphasis on credibility, dependability and confirmability. Finally, the limitations and delimitations of this study are outlined.

Research Design and Approach

In order to provide a richly descriptive view concerning the requisites for effective decanal leadership, a qualitative approach was employed to investigate the research questions posed. A case study design served as the framework for this approach. I chose this form of research design in order to provide a more comprehensive examination of the area under investigation. It was expected that this method would assist in: (a) revealing commonalities and differences in perception, (b) illustrate the complexities of the situation, (c) include vivid material, (d) present information from a variety of sources in a variety of ways, and (e) provide more concrete knowledge (Merriam, 1998). The "case" in this instance, was a dean who was deemed to be performing in an effective manner. Through examination of this individual's leadership practice, from a variety of perspectives such his

own and those of individuals both within and external to the faculty, I believe I was able to gain a more complete understanding, in this case, concerning the requisites for effective decanal leadership. According to Chemers (1997), leadership researchers need to examine a particular leader's behavior from a multitude of perspectives, such as follower reports and observations, in order to provide a more reliable reflection of what is actually occurring. Consistent with case study methodology, it was also anticipated that studying the phenomenon of leadership within its natural context would provide greater insight and depth of understanding (Yin, 1994).

Respondent Group

The target respondent group for this research was deans of faculties at Canadian universities. The accessible respondent group included constituents of a faculty at a major university in western Canada. The sampling process for this study occurred in two phases. First a dean deemed to be effective was selected in a purposive manner based on the recommendation of a high ranking official from central administration. Criteria for selection included: (a) the dean must be deemed effective as defined in the introductory section of this thesis, and (b) must have been in the position of dean for at least three years --it was believed that this period would allow for a more complete assessment of his or her capacity to lead. Secondly, a group of constituents--predominantly from the university--impacted by the dean's leadership were approached to participate. Again this sampling process was purposive in nature in order to gain "information rich" (Patton, 1990) evidence for analysis. Participants were chosen based on their experience, position, degree of contact with the dean, and willingness to share their perceptions regarding the

dean and leadership effectiveness. An attempt was made to ensure representation from the various categories of individuals within and external to the faculty. In order to ensure familiarity with the organizational culture, all participants had been affiliated with the university for a minimum of three years.

Description of the Respondent Group

The respondent group consisted of 11 individuals. The Dean had served in his position for a period of approximately four years. He had been associated with the university for 22 years both as a graduate student and a faculty member. Previous to assuming the deanship he had served as both an associate dean and acting dean. The Dean was selected based on his "number one" ranking among deans at this university in the opinion of a reputable official within central administration. In addition to the Dean, six faculty members were included. These consisted of: (a) an associate dean, (b) two department chairs, (c) an administrative officer, (d) an academic faculty member in a non-administrative position, and (e) a non-academic (support staff) faculty member. All departments of the faculty were represented in this grouping of individuals. Additionally, an undergraduate student from the Dean's faculty, two high ranking university officials within central administration, and an individual external to the university representing the community-at-large were included. A complete listing of the participants is presented on the following page (see Table 3-1). Reference to these participants in the reporting of this study, where identification is warranted, is made either by utilizing their position or their affiliation as noted in Table 3-1. To assist in protecting confidentiality, gender specific pronouns in reference to individuals included in this respondent group may have been

altered.

Table 3-1
Composition of the Respondent Group

	Position	Affiliation
1	Dean	Faculty member
2	Associate Dean	Faculty member
3	Department Chair	Faculty member
4	Department Chair	Faculty member
5	Administrative Officer	Faculty member
6	Academic	Faculty member
7	Non-academic	Faculty member
8	Student	Faculty
9	University Officer	Central administration
10	University Officer	Central administration
11	Representative	Community-at-large

Context

The university which served as background to this study was comprised of several faculties offering a broad range of programs and research opportunities. The selected dean's faculty was home to over 100 teaching faculty members and over 2,500 students. Divided into departments, the faculty offered a variety of undergraduate and graduate programs.

Data Collection

Data were collected primarily by face-to-face individual interviews. Information was also obtained through observation and document review. The sources of data as

previously described included: (a) the Dean, (b) faculty members, (c) an undergraduate student of the faculty, (d) university constituents external to the faculty, and (e) an individual from the local community external to the university. Varying the means of data collection and the sources of data is consistent with triangulation (Gall, Borg, & Gall, 1996). It was expected that utilizing triangulated data gathering would reveal the multiplicity of perspectives present (Cohen & Manion, 1994) as well as provide substantiation to the information gathered.

Data were collected over a two month period from mid-January to mid-March, 1999. Aside from the Dean, who was interviewed on three separate occasions, all other participants were interviewed once. The interviews were semi-structured in approach enabling the comparison of information gathered while still allowing for deviation from predetermined questions in order to gain insightful and pertinent information. The duration of the interviews ranged from 45 to 90 minutes. Two interview schedules were developed and pretested. One interview schedule was intended for the Dean, the other for all other participants. The nature of the questions, however, were similar to allow for comparative analysis. Questions posed focussed on: (a) the subject's background including familiarity with the Dean, (b) perceptions regarding the role of the dean, (c) leadership behavior and characteristics exemplified by the Dean, (d) the Dean's goals for the faculty, (e) factors affecting the Dean's leadership, (f) perceptions regarding decanal performance, and (g) opinions regarding the deanship and leadership in general. A sample of one of the interview schedules is included in Appendix B. It was my intention to be as non-directive as possible during the interviews in order to avoid influencing the

participants' responses. In this respect, most questions posed were "open ended." All interviews were recorded on audio tape and transcribed verbatim in order to strengthen the accuracy of the information collected.

Documents reviewed included information related to the faculty, the Dean, and the participants as found in: (a) the Internet home page of the faculty, (b) written documents and publications released by the faculty, and (c) the university calendar. Some of the Dean's own documents were reviewed including an outline of his presentation to the faculty prior to his appointment as dean. This presentation included his vision for the faculty and an outline of proposed strategic initiatives. Additionally, a segment of the Dean's appointment schedule was examined as was the appropriate provincial legislation pertaining to university governance.

Throughout the data collection phase, I recorded my observations, in the form of field notes, with respect to my interaction with the Dean and all of the participants. This included non-verbal cues that were picked up during the interviews, my impressions surrounding the context of the interaction, and preliminary analysis of the information garnered.

As the lone researcher, I assumed full responsibility for the procurement of pertinent information. In this respect, I arranged, conducted, and transcribed all of the interviews. This allowed for consistency in the manner of data collection and enabled me to engage in ongoing interpretation and analysis. It also assisted in maintaining the confidentiality of the participants.

All of the participants in this study were appraised of the nature of the

investigation, freely consented (see Appendix A), and volunteered their time. Ethical guidelines as identified by the university's policies in conducting research were stringently adhered to.

Data Analyses

In addition to analysing the information following the completion of the data collection phase, analysis did occur on an ongoing basis during the period of interviewing and document procurement. This allowed for refinement of interview questions and re-focussing of observations in order to ensure thoroughness in attention to the research questions. Simultaneous analysis, in this manner, is highly consistent with the emergent nature of qualitative research (Merriam, 1998).

A constant comparative method of analysis was employed. Taped interviews were reviewed and transcribed. Each participant was asked to reflect on a written summation of the key points raised during the interview in order to verify the information obtained. Additionally, all participants were offered a complete transcription to review. These transcriptions together with my recorded observations and data obtained from documentation were then coded, categorized and compared with a view to identify emergent themes. Findings were determined utilizing both inductive and deductive means. Content from the findings was then reviewed with related literary sources in order to draw conclusions.

Trustworthiness

The trustworthiness of the data collected was enhanced by implementing member checking into the process. Participants were asked to review preliminary findings, based

on their particular interview, in order to confirm, seek clarification or expand on the themes identified. Additionally, each participant was given the opportunity to review a written transcription from his or her taped interview. An emphasis on open-ended questions during the interviews minimized the opportunity for the introduction of researcher bias. Minimizing researcher bias was further assisted by engaging a colleague to verify the results during the various stages of data analyses. An audit trail was established by accurately documenting the information obtained and the procedures followed during each phase of the study.

Triangulated data gathering mechanisms identified earlier involved both a variation in the sources of data and in the methods of collection utilized thus eliminating both mono-operational and mono-method bias. As a result, the credibility in the way the study was conducted was strengthened as was the confirmability with respect to its findings. Review of appropriate documentation and stringent recording of observations in the form of field notes allowed for comparative analysis to enhance the validity of conclusions reached. Collection of data was restricted to a two month period lessening the potential impact of changing circumstances and, in turn, strengthening the validity of comparing the perceptions of the various respondents. Owing to the potential sensitivity of the information obtained, interviews were conducted privately, in a professional manner, with both a written and oral assurance of confidentiality. It was hoped that these factors, together with my own background, would help to lessen any participant apprehension. I believe that my experience as a nurse, educator, and administrator served to establish my credibility in conducting this study in a sensitive and veracious manner.

Delimitations

Delimitations for this study included: (a) restricting the data collection phase to a two month period, (b) focussing on only one dean deemed to be effective, (c) limiting the sample of participants for interview to 11, and (d) using interview as the primary means of data collection.

Limitations

The generalizability of findings is adversely affected owing to the nature of the study (i.e., qualitative) and the fact that a purposive method of sampling was invoked. It is anticipated, however, that by providing in-depth context rich descriptions, the transferability of findings to similar situations will be enhanced. Consistent with qualitative inquiry, the intent of this study is to provide perspective and context-bound extrapolations (Patton, 1990). Given the delimitations noted above, the ability of data collection and subsequent analyses to reach a point of theoretical saturation may be hindered. In that I am the sole investigator, it must also be recognized that the conclusions reached reflect but one point of view.

CHAPTER FOUR

Findings

This chapter reports on the findings revealed by the data collected through observation, interview and document review. The findings are categorized based on the sub-problems of this study as well as the themes which emerged in the coding and analysis of the information utilizing both inductive and deductive means. Significant data pertaining to: (a) the role of the dean, (b) characteristics of the dean, (c) elements of leadership style, (d) situational aspects, (e) performance, and (f) critical aspects of leadership, were revealed.

Role of the Dean

Chief Executive Officer

Reference to the dean as chief executive officer of the faculty was a common theme derived from the interviews. This ascribed role was further explicated as someone who has ultimate responsibility for the management of a faculty. This broad categorization of the dean's role was found ensconced in the appropriate provincial legislation which states that:

> 1. The Dean is Chief Executive Officer of that faculty.
> 2. Has general supervision over and direction of the academic work and instructional staff of the faculty and of the officers and employees employed in connection with that work.

The scope of the dean's authority was alluded to by the Dean as well as several of the respondents. In describing the dean's role as "multifaceted" one department chair noted that the dean must safeguard the interests of the faculty, its departments, and of the faculty

members contained within. A respondent from central administration noted that the dean is responsible for all academic and non-academic personnel, and all undergraduate and graduate students within the faculty. The Dean suggested that his role entailed having "full authority or responsibility for everything that happens" within the faculty. He noted his responsibilities as including:

1. Developing and maintaining quality undergraduate and graduate programs.
2. Fostering excellence in teaching and research.
3. Providing leadership for the selection of department chairs.
4. Ensuring that high quality staff are recruited.
5. Providing direction for faculty evaluation.
6. Preparing budgets and obtaining faculty resources.
7. Setting priorities for the use of faculty resources.
8. Representing the faculty internally and externally.
9. Establishing and developing partnerships.

A respondent from central administration suggested that while these responsibilities may be delegated to various members of the dean's administrative team, the authority ultimately rests with the dean. The Dean noted that given this overall accountability, it is important to ensure that he is involved and knowledgeable about all of the activities occurring in the faculty. This included ensuring that policies are followed and that budgets are handled appropriately. The significance of the dean in the management of budgetary matters was also alluded to by other faculty subjects interviewed.

Some respondents, including the Dean, emphasized that the dean should not focus on micro-managing faculty activities. One chair suggested that most of the day-to-day management, in fact, is left at the department level. In reference to his influence on the decision making capacity of department chairs, the Dean suggested:

> They have to know that I'm not second guessing them or that I'm not trying to micro-manage their budget. Nevertheless, I have to know what they're doing, I have to keep in touch with that carefully, so that I can provide appropriate advice, guidance and support for their initiatives or gentle discouragement, in some cases, to try to ensure that some things do not occur, without undercutting and without being seen to undercut the department chairs.

The notion that the dean is recognized as a "middle manager" was refuted by the respondents. The Dean suggested that: "nothing could be further from the truth." The duality of the dean's role, however, in: (a) representing the faculty's position to central administration, and (b) conveying central administration policy to the faculty, was recognized by those interviewed. Nevertheless, the perception of the dean's position as the recognized leader of the faculty, with the scope of authority mentioned earlier, remained the position of the respondents. As one member of the central administration declared: "There is a degree of power at the dean's office that is greater than most 'middle' managers."

Setting Direction

The dean's role of providing direction for the faculty in its activities was expressed by the Dean as well as several of the respondents. The capacity to set long term goals and to assume responsibility for the future direction of the faculty within the university and within society at large was seen as significant. The ability to say: "here's where we're going and here's how we're going to get there . . . here's what's important and here's what isn't," was noted by one respondent. That the dean must ensure that this message is clear and consistent to all faculty members was also expressed. Possessing an executive vision and devising strategic initiatives were two mechanisms which were viewed as

important tools for the dean in setting direction for the faculty's endeavors.

Vision. Having an executive vision was seen as critical by several of the respondents. The capacity to focus on "where the faculty ought to be in 10 or 20 years" was how one academic member of the faculty put it. The Dean noted his vision for the faculty as:

> 1. To be the leading faculty [in that discipline] in Canada, with a major international presence in a select number of teaching and research areas.
> 2. To be the destination of choice for highly qualified undergraduate and graduate students.
> 3. To be highly respected for the discovery and dissemination of knowledge to local, national and international communities.

The compatibility between the Dean's vision and the mission statement of the university was noted. As a respondent from central administration remarked: "The purpose of the university is pretty clear and most deans want to do that--they want to encourage research and have a faculty that is outstanding in the kind of research it does; and they want to have good students who benefit from the kind of instruction that they get." The focus on teaching and research within the vision statement is indicative of the congruence between the Dean's vision and the university's mission. One subject declared that the Dean conveys the university message of being "indisputably recognized." Other statements by respondents mirrored the statements of the Dean and confirmed that the Dean's vision had been communicated. For example, the community representative relayed the dean's vision as: "to get the best people, give them the best training, have the best people graduate . . . and become leading citizens of society."

Eliciting and communicating a vision for the faculty was viewed as significant.

Understanding the "full spectrum of what has to happen in order for a vision to become a reality" was seen as crucial. As one respondent indicated: "most deans have a pretty clear view of what they want for their faculty, the difference is how to get from here to there."

Strategic initiatives. Stemming from the dean's vision, strategic initiatives were viewed as a necessary part of the process of goal attainment for the faculty. According to the Dean, "whatever you're trying to do in the next year or in the next three years, should link back somehow to what you see as the vision of the faculty and should also be broadly consistent with the institutional plan." The role of the dean in setting faculty wide initiatives as well as providing direction to department chairs in particular areas which need to be addressed was expressed. The Dean's list of initiatives included: (a) attracting and satisfying outstanding undergraduate and graduate students, (b) responding to enrolment demands of the future, (c) meeting the research needs of the future, (d) meeting communities' needs, (e) meeting employers' needs, and (f) attracting and retaining outstanding faculty.

Strategies to realize these goals were also identified. For example, in order to attract outstanding undergraduate candidates, the Dean set out to develop greater financial support for students. Provision for entry scholarships based on secondary education achievement were designated to be offered where none had been offered before. Efforts towards building a broader base of support, interest and understanding outside of the university for faculty programs and activities were designed to contribute towards the realization of this goal. Increasing the minimum admission average for students seeking entry to faculty programs was another strategy formulated to ensure a greater number of

outstanding students would be admitted and, in turn, be successful. The Dean's desire to improve the quality of students admitted was reiterated by members of the faculty interviewed. As one respondent indicated: "His top priority was to ensure that the best students were admitted into this faculty."

Another strategic initiative which was identified by both the Dean and several of the respondents was expansion of the faculty's programs. This initiative was viewed as consistent with the Dean's vision of being a leading faculty in Canada and instrumental in meeting some of the goals outlined above, including meeting community needs and attracting outstanding students and faculty members. Again, the consistency between the Dean and respondent identification of initiatives is noteworthy.

The importance of focusing on a particular set of initiatives was emphasized by one of the subjects interviewed. He suggested:

> One of the biggest dangers for a dean is doing twenty-five different things and finding that none of them get done. They have to be able to say, "here are the three or four things I really want to accomplish in the next period," whatever that might be, and focus on that.

The Dean, however, cautioned concentrating on a particular priority without accounting for other potentialities. He noted that "it's a danger in my view for a dean to focus exclusively on one area independent of what is happening around them." He suggested that major gains may be obtained by understanding the circumstances and the "scope of action that exists at different times." He related a case whereby an awareness of the government mood enabled him to secure a substantial amount of financial support to foster the creation of new programs. The key, as he explained, "is to have a long term

plan for the faculty and to adjust efforts as appropriate to always maximize the benefits to the faculty."

Securing Necessary Resources

Several respondents identified the ability of the dean to secure necessary resources for the faculty as an essential role. Resources identified could be grouped as: (a) monetary; (b) structural (e.g., buildings, equipment); (c) faculty members; (d) students; and (e) community input. As one department chair put it: "At university you need three things: money, people and students." Securing the financial well being of the faculty, attending to faculty renewal and fostering student recruitment were areas of involvement cited frequently. It was suggested that by providing both human and financial resources to the faculty, the dean would be seen to advance the teaching and research functions of the university. As the faculty's representative within the administrative structure of the university, the importance of the dean in safeguarding the faculty's "fair share" of resources was emphasized. So too was the dean's role in raising funds outside of the university sphere.

Financial resources. The heightened awareness towards financial well being was mentioned by several of the respondents. References were made to recent reductions in government funding as well as the move from unconditional grants to those linked with specific conditions. Referring to the 1970s, one department chair reiterated: "Back then money was not really a major problem at the university . . . the financial problem wasn't there." Today, however, a great deal of emphasis is placed on securing appropriate finances. According to the Dean:

> I think the role of the dean in the current environment and for the foreseeable future will be one where the obtaining of additional resources, not for the dean's pet projects and issues but for the faculty generally in core areas, is what will distinguish the truly effective deans from those who were very capable but not necessarily, at the end of the day, extremely effective.

Fundraising endeavors, particularly external to the university community, were highlighted by both the Dean and other respondents. In addition to gaining faculty approval and financial support from central administration for faculty initiatives, the more recent need to develop a broad base of support outside of the university was stressed.

Faculty renewal. The responsibility of the dean for hiring staff for the faculty was also highlighted. The ability to attract and keep excellent academic staff was seen as instrumental to the functioning of the faculty. According to a respondent from central administration, most deans "give a good deal of attention to faculty recruitment." Mention was made of the Dean's commitment to spending time and meeting at length with each candidate interviewed for a faculty position. This commitment, alluded to by one department chair, "does a couple of things - it shows he's interested and it really impresses the candidates." Attention to equity issues as part of the recruitment process was also emphasized by one of the respondents.

Student recruitment. The emphasis of this dean on attracting academically strong students to the faculty has already been noted. That this facet of the dean's role was alluded to by several of the respondents deserves mentioning. Recruitment measures introduced included: (a) widespread education of potential applicants regarding what an education in that faculty would offer them, (b) developing greater financial support for students, and (c) opening up of various routes (e.g., transfer opportunities) for students to

enter the faculty. Owing to his belief that "there's nothing that university professors enjoy more than teaching courses to highly qualified students who are understanding and challenging them, who are driving the course to higher and higher levels," the Dean placed a high priority on recruitment. His emphasis on recruiting highly qualified students was also aimed at encouraging student successfulness and retention. As one department chair noted: "If we bring in 600 students and only graduate 300, that's not a very useful use of our resources." Perhaps this statement from the Dean best illustrates his philosophy in this realm:

> If we're going to strike at the heart of improving the quality of education, we have to do many things. We have to make sure that's an ethic which is understood and valued in the faculty, [and] we have to make sure the right things are there in place: high quality instructors and high quality students who are both motivated to learn and educate.

Additional resources. Another resource alluded to by the Dean was community involvement in terms of providing assistance and advice concerning faculty programs and research direction. He noted that talented individuals as well as corporations have assisted in both course delivery and research activity. The Dean viewed extension of the faculty's connection with communities external to the university as "expanding its resource base."

Raising the Profile

Several references were made with respect to the dean's role in representing the faculty within the academy as well as outside of the university. Even the Dean made reference to the role of the dean as having both an internal and an external dimension.

Internal dimensions. Importance was placed on the dean's ability to serve as an advocate for the faculty at the university level. This entailed effectively portraying the

position of the faculty to central administration. Reference was made to defending the merits of the faculty, pointing out strengths and accomplishments, in order to secure necessary support for faculty endeavors. Improving the profile of the faculty on campus was also highlighted. Raising awareness within the university was seen to encourage greater interest with respect to programs offered as well as in research endeavors. The Dean noted the need to develop alliances with other faculties in order to develop a greater understanding regarding issues affecting the faculty.

External dimensions. The importance of developing relationships for the faculty outside of the university community was also noted. The need to foster awareness and support for the faculty through involvement with government, industry, professional associations and community agencies was stressed. The Dean emphasized the need to take on a large number of external leadership and participation roles. His service on a host of committees, funding agencies, boards, and community groups was indicative of the significance placed on this role. In deciding which associations to make, the Dean offered the following guideline:

> The rule I use in saying yes or no is to see if there's a positive linkage that I can develop for the faculty or the university by giving some of my time and input into these organizations so that I can build more support for our education, our research and for our general activities.

The dividends of these associations have not gone unnoticed. One department chair noted that owing to the Dean's involvement with certain government agencies, the faculty was not overlooked when it came to funding a specific endeavor. By increasing his involvement within the community, the Dean is seen to increase the level of knowledge

and awareness regarding faculty endeavors and in turn generate confidence and ultimately support. In reference to a major faculty proposal which was recently approved, the Dean suggested that recognition of, and confidence in, his service within governmental and professional agencies was instrumental in securing the necessary support within the legislature and elsewhere. The community member interviewed also emphasized the importance of these linkages. He noted his perception of the university during the 1970s and 1980s as isolationist and suggested that many opportunities, particularly from a funding perspective, were missed as a result.

Maintaining Harmony

Another theme which emerged from the data was the Dean's role in maintaining harmony within the faculty. Priority was placed on his ability to foster an environment conducive to faculty members in the performance of their responsibilities. One faculty member likened this role to "being a parent to a bunch of squabbling children." The need to ensure equitable allowance of resources and to mitigate disputes between faculty members, between a faculty member and a department chair, or between departments were some of the examples cited. The Dean noted his role in providing advice, guidance and support to individual members as well as for departmental initiatives. Emphasis was placed on understanding and appreciating the modes and aspirations of academic and non-academic members of the faculty. As the Dean suggested:

> Universities are very interesting places because all of the employees--support staff and academic staff--tend to have high levels of accomplishment in their respective areas, whether it's a skilled technician who's really one of a kind or a faculty member who's an expert in his or her area. Because of that high level of accomplishment and the intelligence, education and training that goes with that,

everyone is very sensitive to small things.

The need for conciliatory behavior was noted by one faculty member who, reflecting on the Dean's selection, suggested that he had "annoyed the least number of people." The importance of valuing the opinions of all faculty members was noted by the Dean but he emphasized that this did not mean being "ruled" by their opinions. The necessity to include faculty members in the decision making processes, however, was noted. The impact, on an individual level, of attending to matters concerning promotion and tenure was also stressed. Failure to handle these situations properly, according to the Dean, creates feelings of dissension and results in disillusionment among faculty members. The need for the dean to act carefully with sensitivity and diplomacy was implied.

Fostering Teaching, Research, and Student Achievement

Other facets of the dean's role elicited by the respondents can be targeted under the category of fostering the teaching and research functions of the university. Keeping the focus on these operations, central to the university as indicated in its mission statement, was seen as critical by the Dean:

> From my perspective, one of the key things for a dean of a faculty is to never lose touch with the academic operation. . . . that I do not give the impression that fundraising is much more important to me than the scholarship of the faculty members or . . . ensuring that excellent teaching is going on in the undergraduate or graduate classes. I've always been a strong believer that providing the dean continues to be involved in those activities and shows that he or she personally values those activities, that most faculty members will then believe that the overall directions are being set with those fundamental principles in place. Which is everything that we do should be directed towards supporting the core activities of the university--scholarship in its broadest sense, teaching and research.

The Dean emphasized that his faculty, proportionately, has the fewest number of faculty

members devoted to administrative responsibilities. He has acted on his belief that "you do not need a large amount of administration to make a faculty operate." During a period of budget cuts, the Dean eliminated an associate dean position by combining two portfolios in order to ensure that the necessary resources went into teaching and research. It was an attempt to minimize the administrative load on the faculty so that scholarly endeavors could be maximized. According to the Dean, it signaled to faculty members that the fundamental focus was to be placed on undergraduate and graduate education and on research.

Not lost within this realm is the need to enhance student achievement with the ultimate goal of servicing the community. The student interviewed emphasized the need for the dean to coordinate effective teaching and to "determine what industry requires of the graduates and help them attain that." These views were corroborated by the community representative with his suggestion that the fundamental focus of the dean's attention should be: "the students in, the students while they're there, and the students out." He noted that in addition to considering the needs of the individual researcher or teacher, attention must be given to making a positive contribution to the general community.

Characteristics of the Dean

During the interviews, revelations regarding characteristics of the dean and his leadership were provided. There was a high level of consistency between the viewpoints expressed by the various respondents and the self observations of the Dean. Understandably, there was some overlap between characterizations of the Dean's qualities

with elements of his leadership style. Nevertheless, a summarization of the major themes with respect to the Dean's character follows.

Attention to Detail

The prevailing characteristic identified was the Dean's attention to detail. Every respondent acknowledged his level of preparation and the thoroughness to which he attacks matters of concern. According to a member from central administration: "He's always well prepared, whether it's a presentation or a meeting or whatever . . . he always has his evidence marshaled and lined up." In reference to a report that was requested from all faculties, this Dean's submission was identified as the best owing to "a very thorough analysis" with a "really good understanding of the issues." One faculty member, in comparing the Dean to past faculty leaders suggested that: "ultimately the difference is in the level of detail to which he will understand any particular issue and he will understand it right down to the last penny." This same faculty member noted that all of the Dean's actions on behalf of the faculty were completely thought out and "backed up with real depth." He saw the Dean's detailed analysis and subsequent level of preparation as the difference between "floundering and not floundering." A representative from central administration did, in fact, acknowledge that the Dean's level of preparation was influential in securing their support. The Dean's confidence in presenting the faculty's position, according to one department chair, is reflective of his detailed understanding of the issues and of all related facts. He recounted the following example:

> When he goes into the budget meetings he corrects the budget of other faculties because he's gone through everything with a fine tooth comb. Obviously he needs to have a lot of factual information at his fingertips. He can't say when he's there

> "I'll come and tell you about this next week." So he's extremely thorough. . . . You don't question facts that [he] brings to you because I have not known him to be wrong. He is sure of what he says.

Another respondent similarly noted that the Dean spoke up at meetings only if he had "valid data or valid input and comment to make on the question under discussion."

One faculty member, who had known the Dean for a lengthy period of time expressed concern that his attention to detail might prove to be a drawback for the Dean as he might be reluctant to entrust others to appraise him of the issues. Relating his knowledge of the Dean when he was a junior faculty member he noted: "He pretty well had to do everything to make sure it was done correctly because if he didn't do it, he wasn't sure it was done correctly." The Dean did acknowledge his reluctance to delegate but saw his approach of attending to detail as the right approach for him. He reiterated his preference to see "leadership demonstrated through close involvement and knowledge about the workings of the operation."

Organization

Closely linked to his depth of understanding was his organizational abilities. Most respondents identified the Dean as being a well organized individual. His capacity to manage data in putting together proposals on behalf of the faculty was suggested by three of the respondents including one senior faculty member who noted that "he is very effective at integrating all the pieces that need to happen." Reflecting on this characteristic, the Dean noted: "my ability to deal with information, not get overloaded by it, but to be able to take out of a large amount of information the salient pieces that I need has enabled me to act." One faculty member saw the Dean's "attention to detail, his

ability to organize things and his ability to organize and integrate things together" as fundamental to his effectiveness.

One of the most challenging situations that the Dean faced early in his tenure related to the organization of one of the faculty's departments. It was, according to the Dean, "totally dysfunctional." His decision to press ahead with making what he saw as necessary changes was related to his concern for improving the operation of the faculty. He did, however, recognize the adversity in addressing this issue and suggested that "there's nothing more difficult at a university than reorganizing administrative activities, its really difficult because of all the individuals involved . . . everyone is comfortable in their circumstances." His persistence in resolving this situation is indicative of his willingness to address difficult issues and of his emphasis on functionality and efficient organization. As he noted: "I looked at it from every angle . . . not addressing it, I think, in the short, medium and long term would have been the wrong thing to do."

Commitment

Several of the respondents reflected on the high degree of commitment demonstrated by the Dean. Reference was made to his high level of energy and the lengthy number of hours that he spends on faculty business. The following comments of the Dean corroborate this appraisal:

> I, frankly, put a lot of effort into what I do at the university. If I were to add up a typical work week, it would probably easily exceed 80 hours a week of work. But I've never thought of it as work. I've always had a lot of drive towards setting some goals, targets, vision whether its at a personal level or faculty level and working to achieve that.

His resoluteness in seeing projects through from beginning to completion was a common

theme. As one faculty member suggested: "when he believes passionately in something he will go to any ends and when I say any ends, I mean any ethical ends, to obtain what he wants." When questioned whether this desire to succeed closed the Dean off from examining other viewpoints, this same faculty member noted that the Dean "is quite open to debate and give and take and he does listen. He wants to do what is right for the faculty, not just win the argument."

In reference to the Dean's resolve, one department chair emphasized that the Dean "doesn't like to lose." He noted that this attitude together with the Dean's depth of preparation was significant in raising the profile of the faculty and ensuring that the faculty received its fair share of resources from central administration. Analogous to "playing the game to win," the chair suggested that "there's a limit of resources and a limited pool of students and so you have to work hard to make things work well for you. So he [the Dean] doesn't like to lose and he works very well to gain whatever advantage he can."

The need for the dean to be dedicated to the institution was another theme which emerged. According to one of the chairs interviewed, "you have to have a desire to leave something behind. You don't do it because you're going to get an honorarium, you have to have a desire to build something." The notion that the dean's activities must be focused on what is good for the organization and not rooted in personal ambition was also alluded to by the Dean. Speaking on this issue, he noted:

> Realistically everyone has a level of ambition in them whether it's ambition to produce more papers, to be a superb teacher, [or] to be recognized as a good administrator, but that is not the over-riding concern of what you are doing and others hopefully do not believe that is why you are doing things--but rather you're doing things for the good of the organization and that if good things come to you,

> it'll be because you've done a very good job of what you've done--you've tried to balance the interests and achieve the greater things.

In reflecting on the degree of commitment required, the Dean suggested that through: (a) applying his own time and efforts, and (b) bringing together the support of key faculty members, significant achievements for the faculty can be realized.

Credibility

Several comments related to the credibility of the Dean. Honesty and integrity, according to one faculty member, "must be of high priority." The community representative alluded to the Dean's direct, "no corners, straight ahead" manner and that this approach was highly respected, particularly by leaders within commerce and industry. That the Dean's comments could be accepted at face value and that there were no "hidden agendas" was implicit. Feelings of confidence in the activities of the Dean and the faculty resulted. The importance of being consistent, whether it be in decision making or in communicating faculty policy, was highlighted by the Dean. As he explained:

> I can't go to a provincial board and advocate a different position than I'm going to be advocating internally. It would destroy everything I'm doing if a faculty member speaking with a president of a company got a different message about what I believe than what that faculty member hears when I'm on campus.

Both department chairs emphasized the need for the dean to be regarded as impartial. The issue of fairness was seen as particularly important given the departmentalized structure of the faculty. Reference was made to the ongoing concern that a dean coming from a particular department might be perceived as a "homer." There had, according to one respondent, been evidence of this in the past, however the current Dean was identified as showing no favoritism. He was seen to have "worked very hard to

make that happen both in real terms and in perception--that all departments are treated on a fair basis." The importance of ensuring that bias did not enter into his decision making processes was also stressed by the Dean. His regard for a high level of personal integrity was duly noted.

Another aspect of the Dean's credibility related to his academic background and related achievements. That he was known as an excellent teacher and an excellent researcher, as pointed out by two of the respondents, fostered respect among faculty members. As one chair noted, "if somebody goes to them [faculty members] and says you must perform better in your research and this person himself has never accomplished anything, that doesn't carry much weight."

Astuteness

Reference was made to the Dean's overall intellect. Some faculty members, however, tried to pinpoint aspects of this dimension more precisely. As one respondent noted: "it has nothing to do with intelligence. The university is populated with extremely intelligent people and some of those could not lead anything." Ascribing it to "common sense," he suggested the need for the dean to "have a feel for what will work and what won't work." The necessity for insight into the academic operation and how to optimize limited resources was inferred. Another faculty member focused on the discriminating abilities of the Dean and noted that "there are very few things that slide by him without him realizing what's going on." Closely related, the Dean spoke of the need to extract important pieces of data from a variety of sources in order to guide action on his part. He offered the following assessment: "I've always had the ability to assimilate large amounts

of information and have that information come back to me when I need it, whether it's in a meeting or preparing a budget."

Humbleness

In my discussions with the Dean I observed him to be a congenial yet relatively modest individual. He does, however, exude a sense of "quiet confidence" in his abilities and a certain strength of character. All of his statements seemed very well thought out. This impression was verified by the community representative who noted: "He's got a countenance that doesn't lend itself to easy humor and big smiles. He's not doing it on that at all. It's the feeling of confidence and honesty and straightforwardness that you get from him irrespective of what his face is doing."

By his own admission, the Dean is not an outgoing, demonstrative type of individual. As he explained:

> I've never been a person who seeks out opportunities to lead parades. I'm quite comfortable having others standing up at things and making grand speeches and other things. That's not an aspect of the extremely visible public leadership which sometimes, to me, always seems to be much more self promotion than leadership.

It seemed clear from my discussions that the Dean is not perceived as holding himself above others and as one respondent suggested, he is willing to do anything "from the biggest to the smallest things." Mention was made about his approachability yet it was suggested that he is not always comfortable with personal interaction. The student interviewed, for example, noted that the Dean seemed less at ease interacting with undergraduate students than he did when observed with more senior members of the faculty and with "older" visitors to the university.

Evidence of the Dean's firmness in dealing with issues was also obtained. As one representative from central administration noted: "He is an easy and pleasant person to deal with but he's not a pussycat." She made reference to an issue which the Dean felt strongly about and "dug his heels in," demonstrating that he can be quite resolute. One of the chairs noted that the Dean is not afraid to confront people, yet this was seen as advantageous, particularly when making a strong case on behalf of the faculty.

Elements of Style

Fitting the Culture

The notion that the style of the dean must suit the culture of the faculty was expressed during one of the my initial interviews with a representative from central administration. He used the example of trying to bring in an aggressive, hierarchical dean into a faculty which is used to operating by consensus. That the dean must adjust his style to match the way in which the faculty operates was implied. One of the chairs noted that even within a faculty, different departments may have different cultures. That is, each department may have its own philosophy and have its own unique way of operating. This, of course, creates an enormous difficulty for the dean in trying to operate from a perspective that is acceptable to the various dimensions within the faculty.

Alluding to the differences between an academic institution and a corporate structure, another chair interviewed suggested that each faculty member could be viewed as a "separate little department." The impetus for the dean as leader of the faculty would be to focus on creating an environment where "each of those individual little units can perform to the best of their ability." The associate dean noted that whereas decision

making in academia is based on a collegial paradigm, the capacity of the dean to lead is made much more difficult then for a chief executive officer of a private sector organization who can dictate policy much more readily. Perhaps this respondent put it best: "You have to work in an environment where you don't have the power to enforce, you have to have the power to convince."

Understanding the political dimensions of the faculty and the university was another aspect mentioned by some of the respondents. Knowing where the power centers are on campus, both formal and informal, was emphasized. For the dean to recognize who the important stakeholders are, within the student, academic and administrative constituencies, and how they operate was implied. One of the interviewees who had known this dean for a long time noted that he had, over time, become much more politically sensitive. Recognizing and understanding the potential impact of the dean's statements or actions on various segments of the faculty and the university was viewed as a necessary skill. The acquisition of this skill, as a member of central administration remarked, is: "not something you can get in a manual, its much more subtle than that."

Leadership by Example

In discussing his own leadership style the Dean noted: "I believe I tend to lead by example, by being seen to do things." He noted his close involvement in the workings of the faculty and his willingness to channel his time and efforts into those endeavors. The amount of time the Dean devotes to faculty affairs has already been mentioned. One member of the faculty emphasized the Dean's previous achievements in teaching and research. In so doing, he set high standards and exemplified "the way it should be." As

another faculty member noted: "a dean who has not a good research or teaching record would probably be ineffective because he wouldn't have the respect of the faculty members." This desire to model appropriate behavior to members of the faculty is reflected in the following statement by the Dean:

> I've always seen true leadership at the academic institution as arising from an understanding and commitment to the core values and if you always focus your activities in those areas, others will recognize it and will follow.

I was unsuccessful in attempting to pinpoint the Dean's style of leadership within a spectrum from being highly directive to being highly participative. Some respondents suggested he was more authoritarian in approach whereas others noted his conciliatory behavior. One faculty member suggested that the Dean's approach varied according to the situation; that he definitely consulted with faculty members and allowed them to express their views but that he was willing to make a decision that "may not satisfy everyone." Another faculty member could not identify the Dean's style within this categorization. He suggested: "I think the contrast in terms of leadership styles isn't the authoritarian vs. the non-authoritarian, that's not really the kind of thing that I see. I think what I see more, in terms of styles, is his style which is leadership by actually doing things, getting things accomplished."

Decisiveness

The ability and willingness of the Dean to make difficult decisions was recognized by three of the respondents. According to one faculty member, previous problems within the faculty were generated by an unwillingness to address the "tough issues." Concerns related to faculty evaluation, program development and budget were seen as some of the

most difficult matters. The necessity of making decisions without spending "an inordinate amount of time" and being consistent in those decisions was emphasized. The Dean stressed the importance of gaining faculty input but acknowledged that ultimately the final decision often rests with him. He suggested that:

> There's a tendency at universities whenever a difficult decision has to be made to delegate it to a committee and then to take the protective cover of the committee that "this isn't my decision, this is the decision of ten people on the committee." That's abdication of leadership in my view. There's a lot of difficult decisions that have to made at the university . . . and I believe the dean of the faculty has to be seen to be making those decisions and to be taking the full responsibility of making those decisions.

The Dean also noted the importance of linking authority with responsibility. That should responsibilities be delegated, so too should that individual or group be vested with the authority in order to act appropriately. He referred to the assignment of responsibility without authority as the "classic error of university administration."

Problem Solving

In my discussions with various members of the faculty there was significant emphasis placed on the ability to solve problems. The Dean's approach seemed consistent with this focus. Mention was made of his ability to integrate a variety of data and formulate an effective plan of action. An example provided by one respondent revolved around how the Dean dealt with the impact of budget cuts. As he explained, the Dean was able to reduce faculty costs for a support course offered outside of the faculty without jeopardizing the quality of the product for students. In effectively negotiating to reduce costs, the Dean had first determined what the per student cost had been. The ability of the Dean to deal with the reality of a situation and to base his plan of action on "real data"

rather than on assumption was emphasized by one faculty member. He suggested that too many decisions at the university are left to assumption and that is not the way this dean operates. The community member, reflecting on the Dean's ability to remedy situations, suggested that "if there's training to be provided to other deans or other faculties maybe it's how to solve problems that they haven't had."

Accessibility

In making arrangements to interview the Dean, I found him to be extremely accessible. All appointments were scheduled less than a week in advance. It was easier, in fact, for me to access the Dean then some of the other respondents. The student interviewed, however, alluded to some difficulty on his part, in attempting to see the Dean. He noted that their were several hurdles he had to go through in order to finally secure an appointment. The Dean did allude to directing students to the appropriate associate dean or another member of the faculty in order to expedite attention to their concerns. He noted that most of his meetings were with faculty members or other administrators. Review of his schedule revealed numerous engagements involving faculty committees as well as individual members but also with external associations. Despite this full schedule, the ease to which I gained access to the Dean deserves mention.

Situational Aspects

An attempt was made to discover whether there were certain events--internal or external to the faculty--which may have impacted on the performance of the Dean and the degree to which these events may have either impeded or promoted his effectiveness. Recent budget cuts were alluded to in most of my interviews as having an impact on

activities at the university but most respondents acknowledged that the Dean's ability to deal with these financial concerns spoke to his effectiveness rather than detracted from it. Both members from central administration suggested that often budgetary matters are used as an excuse for an inability to produce results. The capacity of this dean to adapt to those circumstances was emphasized. As one respondent noted: "He's always looking for a way to get where he wants to go, whether everything is handed to him the way he would want or not." Comparing decanal performance during "good times" as opposed to "bad times" was also considered with one of the subjects interviewed from central administration. It was suggested that even in "good times you can see a real difference." A situation whereby each faculty was immediately handed a 5% increase in financial aid was used as an example. An effective dean, it was explained, would utilize the additional resources towards a significant faculty initiative. Another dean might allow those same resources to filter through the faculty without producing any "real change." He surmised by suggesting that "the ability to prioritize your own limited resources is really the same question in affluence or poverty, its just in poverty its probably a tougher set of questions."

Reflecting on this phase of budget cutbacks the Dean noted that despite having to make significant adjustments such as staff and program reductions, he was, at the same time developing proposals aimed at increasing faculty offerings in a number of areas. He referred to this period as "managing an expansion simultaneously with a contraction." By focusing attention on future augmentation of faculty programs, the Dean felt he was successful in improving the morale within the faculty which had suffered as a result of the

university wide reductions. The Dean recognized the importance of focusing the majority his attention internally within the faculty and the university at that time. As he pointed out: "it would have been foolhardy of myself as dean to be spending all my time external, in the outside community . . . because it was clear that the dean had to be seen inside, to be addressing the key issues of the faculty." He acknowledged the importance of being able to shift emphasis and re-order priorities dependent upon the circumstances and the time.

One of the chairs noted the importance of taking advantage of opportunities which may serve to benefit the faculty. In reference to recent expansion activities, he identified certain funding programs which were made available that allowed this development to take place. As he explained: "It would have been very difficult to get to where we are now if that hadn't happened." Nevertheless, recognition of the Dean's diligence in doing the "leg work" in order to "make it happen" was not minimized.

All of the respondents alluded to events which may affect the manner in which the dean directs his activities. As one faculty member noted, "there are always going to be those kind of things that push a dean in a particular direction." The overall impression, however, that I received was that although the Dean may have to adjust his efforts--owing to the events of that time which might be seen to either positively or negatively impact the faculty--his effectiveness to lead should not be restricted.

State of the Faculty

An important consideration which was alluded to by the associate dean interviewed was with respect to the state of the faculty. That is, that the condition of the

faculty when a dean first assumes office can have a significant impact on his or her ability to direct the faculty's future. As he explained, "a dean really needs to be looking to the future and that presupposes that today is in good enough shape that he or she doesn't have to spend all their time worrying about the today's and never get to think about the tomorrow's." Although he considered the faculty to be "in pretty good shape" when the current dean assumed office, mention was made of a departmental restructuring which required the Dean's early attention. In discussions with the Dean, the functionality of the faculty came out as an important facet to his effectiveness. On an individual level, he made reference to the smooth functioning of his office which would otherwise encumber his ability to perform.

The fact that the Dean had been a faculty member for several years and had served as an associate and acting dean was significant in making the transition to dean. That he had an understanding of the institution was very helpful, as he explained, "not to have a large pause" when he first assumed office. The Dean suggested that his knowledge of the workings of the faculty and of the issues "of the day" enabled him to move promptly into directing the activities of the faculty. Referring to the period of time when he submitted his application for the deanship, he noted: "I understood the faculty well enough at that stage in most of its aspects of operation that I felt that I would be able to contribute; to use that knowledge to do positive things in the faculty." In discussions with the department chairs regarding the advantageousness of appointing a dean from within the faculty, they both inferred that familiarity with the system was definitely an asset. It was felt that having previously served as an associate dean facilitated the Dean's ability to be

effective. One chair noted that should the faculty bring in a future dean from the "outside," it would take him or her a year to "know the in's and outs." He pointed out that although it would be helpful to prime a future dean, that having a succession plan--a "dean in waiting sort of thing"--at the university is generally frowned upon.

Level of Faculty Support

The degree to which the Dean enjoys the support of faculty members was another important variable which was communicated. As the non-academic member of the faculty pointed out, "the dean has to have the support of the faculty or things aren't going to happen." The importance of constituent support was not lost on the Dean who emphasized its significance given the collegial nature of the university. Owing to a ratification vote following his selection, the Dean was able to ascertain his level of support, at that time, amongst members of the faculty. Possessing this knowledge, as the Dean explained, enabled him to determine whether he had to spend time building support or whether he could move ahead with the planning of initiatives.

In order to maintain support for his initiatives, the Dean noted that during discussions with members of the faculty or other university constituents, no matter what the issue, he would always take time to "build a broader understanding of what is going on in the faculty and the directions we're moving in." His aptitude for mobilizing support for his initiatives was recognized by one of the respondents from central administration. The Dean identified his associate deans and department chairs as key individuals whom he looks to for support. With respect to faculty wide support for major initiatives, the Dean noted:

> I think its fairly accurate that at any given time, about 20% of the faculty members who, if things are put in front of them on a major initiative, will be extremely enthusiastic and want to charge ahead and would be willing to put some effort in; there will be about 10% of the faculty members who will resist that thing almost to the day they leave the university; and they'll be 70% of faculty members who when something happens will be quite happy to see it happen but they're fully consumed in their teaching and research and this thing is peripheral to them. . . . So rather then having pre-identified these individuals by name that have to be brought in to support an initiative is always to try, when a new initiative is being put forward, to find that 20% who are going to be the internal champions in a department and support them so that their positive support overwhelms the 10% who are opposing it, recognizing that those 10% who oppose will have important points that need to be accommodated somehow because they're pointing out real issues.

At the time this study was conducted, the overall impression I received from the respondents was that the Dean was generally supported by members of the faculty. His approval, it was pointed out, was not 100%, however, all respondents thought that he would be supported should he seek reappointment for another tenure as dean. One chair commented that from his perception the Dean enjoys "a higher level of support than has been the case for several deans in the past."

Performance

Opinions were gathered with respect to the Dean's performance. In rating the Dean's performance to-date, the assessments ranged from average to outstanding. Most respondents considered the Dean to have executed his role in an excellent fashion. In comparing the Dean with other deans on campus, both subjects from central administration ranked him highly. Rationale for this ranking revolved around the Dean's ability to articulate policy, to develop strategic plans, to innovate and to achieve results. In rating decanal performance, one member from central administration identified the following parameters for consideration:

1. How effectively they manage their resources.
2. How well their programs run.
3. How effective they are at recruitment.
4. How good they are at obtaining resources from areas other than central administration.
5. How good they are at creating the kind of policy and atmosphere within their own faculties that reflect the overall goals and policies of the university.

The intent of this section is to highlight the major accomplishments of the Dean as perceived by the 11 respondents.

Improving the Stature of the Faculty

The Dean was seen to have significantly improved the status of the faculty both within and external to the university. It was noted that he had positioned the faculty more strongly with respect to central administration and that the faculty is now considered to be "an integral [component] if not a leader in this university." One chair remarked that when he attends meetings on campus involving constituents from various faculties and departments, he has observed the improved regard others have for his faculty. He associated this improved stature with the Dean's capacity to present a strong case on behalf of the faculty. It was also noted by the chair that the improvement in the faculty's reputation within the university community has been a "great morale booster" within the faculty. Changing the thinking regarding how the faculty "fits" and what it can achieve within the university structure was seen by the Dean as his most significant achievement to-date. He noted that previous to his tenure there was an inaccurate perception of his faculty and that these external misconceptions almost translated into a "self fulfilling prophecy internally." By improving the impression of the faculty both within and external to the university, the Dean noted advancements in many areas. He acknowledged an

improved ability to: (a) attract "quality students," (b) recruit highly qualified faculty members, (c) increase the level and intensity of research efforts, and (d) develop linkages external to the university. The community representative also recognized the improved reputation of the faculty. He noted the excellent quality of the graduates and suggested that the reputation of the faculty was a reflection of the "product you turn out." Connecting perception with actuality was also highlighted by the Dean. He acknowledged his role in "changing perceptions and causing those perceptions to lead to a new reality, in terms of performance and accomplishments for the entire faculty."

Student Recruitment

At least five of the respondents noted the Dean's role in improving the quality of students admitted into the faculty. Since he first began his tenure, the required entry average into faculty undergraduate programs has increased by seven percent. The Dean placed a high priority on student recruitment and was successful, according to one faculty member, due to: (a) aggressive recruitment, and (b) provision of entry level scholarships. By broadening the scope of faculty recruitment activities, the Dean was able to increase the pool of applicants to the faculty. The emphasis to be placed on recruitment was communicated to department offices and was exemplified by the efforts of the Dean's own staff in contacting students in secondary schools across three provinces. In this endeavor, the Dean devotes a significant amount of his own time in writing personalized letters to potential applicants. Improving the accessibility of the faculty's programs through the provision of transfer opportunities from community colleges also widened the pool of available students. By increasing the applicant pool, the Dean rationalized, the ability to

select students of high quality would also increase. The initiation of entry level student scholarships to attract students with high academic standing in secondary school was another facet of the Dean's strategy. Funds raised through the Dean's efforts were targeted towards the development of these student scholarships. He noted that this past year, $350,000 worth of scholarships were offered to first year students where, five years previous, none had existed. Over a four year period, the number of applicants to this faculty has doubled with a correspondingly significant increase in the minimal entry average mentioned previously.

Expansion of the Faculty

The faculty has recently received approval to increase the number of students admitted into its programs by approximately 30%. Associated with this expansion will be the creation of new facilities to ensure sufficient classroom and laboratory space. Much of the success in securing the consent to move ahead with expanding the faculty was attributed to the efforts of the Dean. His role in recognizing funding opportunities, preparing proposals with the necessary detail work, lobbying government agencies, and mobilizing support from key constituents both within and external to the university was noted. The Dean acknowledged his "two years of almost full time work" devoted to bringing the approval for expansion through to fruition. The desire to expand the faculty's programs was rooted in the Dean's firm belief that more graduates with a degree from his faculty would benefit society owing to the "broad based education" that they would receive. It was also related to his conviction concerning the dean's role. As he explained: "I think a dean in almost every case has to look at expansion or stagnation. You don't

have a choice of just operating at a steady state." He elaborated by suggesting that expansion did not necessarily mean increasing the number of faculty members or the number of students admitted but could be merely augmenting the resource base for faculty operations. Additional resources would, for example, allow for the improvement of undergraduate or graduate programs or support new research endeavors. As he explained:

> There are a number of things you can do without necessarily getting bigger but I think the dean has to be seen to be leading the way in developing those additional resource bases even if its not meeting an expansion in the size of the faculty; it may just mean an expansion in the scope of activities of the faculty. Without doing that, I believe it would be difficult for a dean to truly be effective in the job because of the polarization that you would always be creating within your own faculty in terms of the removal of resources from this area to put them in the other area, part of the job, but unless there's the new resources coming in, you would start to polarize your faculty so badly that it would reduce your effectiveness.

Improving the Resource Base

The Dean was given credit for increasing the resources available for faculty endeavors. As one faculty member remarked, "he's done an enormous amount on the development side." This included: (a) support from external sources towards the establishment of research chairs and student scholarships, (b) governmental backing for faculty initiatives including expansion, and (c) maximizing the faculty's allotment from central administration towards various faculty operations. Mention was made of the significant amount of time the Dean expends on fundraising efforts. The dividends of his involvement were alluded to by several of the respondents. One of the department chairs observed that the Dean was able to secure a significant allocation of funding, in competition with three other faculties, owing much to the fact that he was the only dean to

represent his faculty at a decisive meeting. The Dean stressed the importance of taking advantage of opportunities in order to secure the maximum benefit for the faculty. This may be through correct interpretation of the government mood in support of a particular initiative or by not bypassing a one-time funding opportunity for research in a specific field. Additionally, his involvement with several committees, boards and associations within the university, the government and the community was cited as building strong relationships which in turn fosters confidence and ultimately assists in securing support for faculty proposals.

Faculty Renewal

Recognition of the Dean's role in the acquisition of numerous new faculty members was also mentioned. Over the past two years, 37 new professors have been added to the academic staff of the faculty. Much of the work in reviewing applicants, according to one of the chairs interviewed, takes place at the department level. Nevertheless, the Dean's involvement in providing encouragement and incentives in order to attract excellent candidates was noted. That the Dean spends, on average, over an hour meeting with each candidate being reviewed for a position has already been alluded to. One respondent recognized the Dean's role in implementation of an orientation program for new faculty members which was extremely well received. His attention to ensuring that equity issues were respected in the hiring of new faculty members was also highlighted by one of the subjects from central administration.

Critical Aspects of Leadership

All of the respondents were asked to share their views regarding leadership in

general or in reference to the position of dean. A number of interesting perspectives were communicated with respect to what the respondents viewed as indispensable to effective leadership. The common themes revealed are the subject of this section.

Translating Vision into Reality

The importance of the leader in communicating a vision for the future and in seeing that vision operationalized was highlighted by several of the respondents. One faculty member made the comparison between someone who is accomplished and produces a wonderful vision for the future yet expects it to filter down through the organization versus someone who understands the reality of what it means to accomplish it. Having a vision for the faculty that is shared was seen as only half of the equation. Knowing how to set in motion a plan and implement that plan in order to see that vision realized was identified as the critical other half of the equation. As one respondent from central administration noted: "You have to have the practical, get it done, going through the steps, find out how you go from A to Z without just throwing out an idea and letting it all fall into the dust." The practicality of the vision was emphasized by two respondents, one noting the importance of injecting realism into the equation, another that the vision was "easily quantified." The significance of being able to develop an impression for the organization's future, formulate an effective plan and execute that plan was also highlighted by the Dean. He noted:

> I think there's very few good leaders that are all vision and no action; and there are very few good managers with no vision who are good leaders. You have to combine the two. . . . The combination of the ability to look out beyond your current situation and your current circumstance to try and envision what the possible world could be out there and while you're looking out in that possible

> world and thinking of your strategies to create that possible world, ensuring that your internal management of what you're currently doing is effective and that you can bring together that team of individuals that you need to accomplish the day-to-day management as well as the implementation of a broader vision for an organization.

Understanding the Enterprise

The notion that the leader of an organization must understand the dynamics of the institution was expressed. As one faculty member noted, the person must have good grasp of what the problems are and an understanding of "what has to be done and what it takes to do it." As he explained, "this is why I completely disagree with this whole idea that a manager can come in from anywhere and manage anything." The importance of comprehending the nature of the activities taking place and of the people within the institution was implied. Whether it was an advantage to select a dean who had previously served within the faculty was discussed with both department chairs interviewed. It was suggested that selecting a dean from either inside or outside of the faculty would depend very much on the circumstances at that time. Nevertheless they both acknowledged the distinct advantage of selecting someone who was already familiar with the "in's and outs" of the faculty. The importance of comprehending the organization was also inferred by the Dean. When I asked his opinion of utilizing outside consultants, he suggested that "it tends to be a disaster . . . the reason being they don't understand the institution."

Mobilizing Support

The capacity of the leader to elicit support among members of the organization was deemed necessary by some of the respondents. Mention has already been made concerning the value of assessing the dean's level of support among faculty members,

particularly in consideration of the collegial nature of decision making. As one of the subjects from central administration noted, "in a university environment you can't just order people to do things, it doesn't work." Comparing tenured faculty members to independent contractors, he stressed the importance of the dean in being able to "bring people along and give them something to bring them along to." The dean's capacity to motivate members of the faculty was recognized as significant. Stressing communication, one of the chairs noted the importance of making faculty members aware and "feel a part of things." He noted that given the variety of issues that the dean is dealing with, this aspect is often one of the biggest difficulties of decanal leadership, particularly in a large faculty. The ability to: (a) assemble an effective working team, and (b) raise the performance level of individuals working within the organization, were other aspects of leadership significant to this categorization which were identified.

Faithfulness to the Position

An emphasis was placed on the dedication of individual leaders to their role and to the organization they serve. One respondent made reference to a former dean who, although successful prior to his appointment, lacked dedication, and as a result did not leave any lasting impression of contributing to the faculty. Another respondent hypothesized that the environment surrounding academia did not lend itself towards the development of leaders. He suggested that, "academic life leads to people living in corners . . . the whole paper publishing and the drive for all of that . . . leads to a certain defensiveness and lack of openness--some of the things that I think are criteria for a good dean." Referring to the current Dean as unique, he lauded his ability to shift focus and

attend to the business of the faculty in serving the community. The Dean stressed the importance of concentrating on executing the role of dean rather than simply establishing himself in that role. As he explained, "occasionally individuals in these positions become enamored with the position as opposed to what they should do in the position." The Dean cautioned against shifting attention away from his responsibilities as dean. He noted:

> I see a fair number of individuals who appear to be, in some cases, splitting their attention between their duties as dean and what they may be seeing as their duties to themselves--not in a negative sense--but they're just trying to be careful about ensuring that they keep all the constituencies within their faculty a certain fashion so they'll have support if they wish to be dean again; or that they do certain things so that the rest of the constituencies on campus would support them if they wanted to become a vice president or the president. When you do that, you end up invariably compromising some of the hard decisions you should be making and some of the areas where you should be focusing your attention which do not give an immediate return for those other things.

Attending to the students, the faculty and the resource base were seen as the foremost priority for the Dean.. Shifting the focus, as he explained, would lessen his effectiveness. The need for a leader to be selfless in working on behalf of their organization was highlighted by the community representative. He noted that in his experience interacting with a multitude of heads of corporations, "the ones that don't talk about themselves and talk about others are the leaders in the long term. The ones that use the word "I" and "me" over and over again, they're the short term ones . . . they're not leaders, they're something else."

Summary

The findings of this study, as revealed in this chapter, deliberated on the role of the dean, characteristics and style of that individual, situational aspects, manifestations of

performance and critical elements of leadership behavior. Significant components of the dean's role included: (a) overall management, (b) setting direction, (c) securing resources, (d) raising the profile of the faculty, (e) maintaining harmony, and (f) fostering teaching, learning and student achievement. The dean under investigation was shown to be an astute and humble individual who was attentive to detail and demonstrated commitment and consistency in his undertakings on behalf of the faculty. The necessity for the leadership style to fit the culture of the faculty was emphasized as was the importance of accessibility. The Dean's utilization of a problem solving approach and acting decisively in decision making were aspects valued by faculty members. The ability of the dean to adjust efforts in response to events which may be seen to impact either positively or negatively on the faculty was underscored. The level of decanal support and the state of the faculty when the dean first assumes office were areas identified as influencing the dean's ability to produce results. The Dean's performance was viewed positively in: (a) raising the stature of the faculty, (b) recruiting quality students, (c) expansion of the faculty's programs, (d) attracting excellent academic staff, and (e) increasing the resource base. Finally, elements significant to leadership effectiveness were highlighted. These included dedication to the position, understanding the organization, the ability to mobilize support and to see a vision through to realization.

CHAPTER FIVE

Discussion

Data acquired in the conduct of this study provided evidence concerning the decanal role, perspectives on characteristics, style and performance of the Dean, situational variables as well as significant aspects pertaining to leadership in general. The findings, alluded to in the preceding chapter, are, nevertheless, only representative of the case examined. This chapter seeks to discuss these results in light of related research and applicable literature.

The Decanal Role

The broad classification of the dean's role as chief executive officer or "CEO" of the faculty was alluded to by both the Dean and several of the respondents. The significance of this finding may be interpreted three dimensionally. Firstly, the notion of the dean as chief executive officer does suggest a sense of overall and ultimate accountability for the affairs of the faculty. That the Dean recognizes this obligation demonstrates a readiness to shoulder this responsibility and may, in fact, be related to his effectiveness. That other members of the university, including faculty constituents, recognized the dean as the faculty CEO acknowledges not only the dean's scope of responsibilities but also confirms the ultimate authority vested in the position. Secondly, the term CEO is often associated with a leader of a major corporation within the business sector. Although the university may be considered a corporate entity, as an educational institution, it is not generally considered to operate in a business-like manner. Kwong (1993), however, suggested that universities are drawing closer to a business model in the

conduct of their affairs. Reference to the decanal role as chief executive officer may, in fact, be a reflection of that movement. Thirdly, consideration of the dean as faculty CEO may be a more regional interpretation. Classification of the dean's role in this manner was found ensconced in the provincial legislation governing the operation of the university which served as the backdrop for this investigation. Although reference was made in the literature reviewed to the various duties and functions of the academic dean, endorsement of the dean as "CEO" or chief executive officer of the faculty was rarely found. Since the majority of the literature reviewed originated in the United States, there may be a Canadian perspective relevant to this finding.

Relatedly, and also noteworthy, is the notion of the dean functioning as a middle manager. Several references (Cyphert & Zimpher, 1980; Dill, 1980; Griesbach, 1991; Lasley & Haberman, 1987) attributed the dean's role to that of middle management. Nevertheless, consideration of the dean as a middle manager was refuted in the findings of this study. That the dean's role included representing the interests of the faculty and those of central administration was acknowledged. Yet neither the Dean, nor members of the faculty or central administration interviewed, perceived the dean to be "operating in the middle."

Various functions attributed to the dean by respondents in this study are supported in the literature. The need for the dean to provide direction to the faculty correlates to Dill's (1980) emphasis on requiring the dean to furnish a "sense of purpose." In establishing the necessity to "pull together a sense of what they [faculty members] have come together to do" (p. 266), Dill noted the need for the dean to specify the areas where

faculty efforts ought to be generated. That the Dean, in this case, conveyed to his constituents his vision for the faculty together with intended strategic initiatives is reflective of this function.

The dean's role in representing and raising the profile of the faculty, both within and external to the university, has also been recognized in related studies. Cyphert and Zimpher's (1980) survey of education deans noted the liaison and public relations activities associated with the deanship. Martin (1993) acknowledged the importance of the dean's institutional advocacy role. She identified the need for deans to serve as cultural representatives for their university and to "cultivate relationships with various groups and individuals on campus" (p. 31).

Reflection on the dean's role in maintaining harmony among faculty members reinforces the notion of the dean as a "dove" ascribed by Tucker and Bryan (1991). In fact, one respondent's remark concerning the need for the dean to be a "parent to a bunch of squabbling children" correlates directly with Tucker and Bryan's requirement for the dean to serve as an intermediary among conflicting faculty coalitions.

Cyphert and Zimpher's (1980) inclusion of staff and program development as a significant part of decanal responsibilities was corroborated by the findings in this study. The dean's role in fostering the teaching and learning elements of the faculty operation was highlighted. Both the Dean's words and actions, as illustrated by his trimming of administrative structure in order to target maximal resources towards academic operations, demonstrated his commitment to this function.

The dean's role in procuring resources to foster the activities of the faculty was

emphasized by the Dean as a critical measure of effectiveness. Matczynski, Lasley and Haberman's (1989) survey of academic faculty members also recognized the importance of securing the necessary human and physical resources. The emphasis on resources, particularly financial resources, was a common reference point during my discussions with all of the respondents. Concern over monetary issues within postsecondary education in recent years (Andrews, 1992; Kwong, 1993; Vale 1994), has undoubtedly propelled the significance of this decanal function. Closely related, the involvement of the Dean in budget preparation was highlighted by several of the respondents and also draws some support in the literature (Cyphert & Zimpher, 1980). The degree of detail to which the Dean, in this case, expends on budgetary considerations may, however, be unique or a developing trend.

In determining facets of the dean's role, there was congruence of opinion in relating the views of the Dean with those of the various faculty members interviewed. The similarity of their understanding regarding decanal function may serve as an important step towards ensuring decanal effectiveness. Undoubtedly, divergent expectations regarding role behavior would impact negatively on the ability to meet perceived standards of performance. The fact that the constituents interviewed, both within and external to the faculty, had similar perceptions to this Dean who was deemed effective, did not go unnoticed.

Elements Pertaining to Character

Several of the characteristics of the Dean revealed in the findings of this study are traits which have been associated with leadership effectiveness in the literature. The

Dean's credibility with respect to his straightforwardness, integrity and fairness has been highlighted. The need for integrity, particularly within the domain of educational administration has been stressed (Birnbaum, 1992; Hodgkinson, 1991). That faculty members interviewed placed high priority on the Dean's honesty and impartiality is indicative of the significance of this feature. As a measure of his integrity, the Dean emphasized the need for him to be consistent in both deed and word. The importance of conveying a sense of trust through reliability and constancy was noted by Bennis (1997) as an essential area of competence in a successful leader.

Stogdill (1974) and Bass' (1990) characterization of an effective administrator as someone who demonstrates persistence in the pursuit of goals was also reflected in the findings. The Dean was shown to be highly committed in working towards the achievement of designated strategic initiatives. Respondents commented on his desire to succeed and his willingness to explore all avenues to ensure that faculty aspirations are attained. The extensive amount of time (approximately 80 hours per week) which the Dean devotes to faculty matters is indicative of his commitment and drive.

The Dean's intellect both as a reflection of his own abilities and his insight into the affairs of the academy were illustrated. Commonly attributed to successful leaders, intelligence and situational adeptness (Fisher, 1984; Gardner, 1990; Stogdill, 1974) were cited frequently. The organizational capability of the Dean was also linked to his effectiveness. Martin (1993) recognized the importance of this "managerial skill" in her investigation of competent deans.

Two facets of the Dean's character which are not consistently identified in lists of

traits of successful leaders (Bass, 1990; Yukl, 1989), were his humbleness and attention to detail. The Dean's detail work was, however, well respected and admired, particularly by members of central administration. His thoroughness in addressing issues was commented on repeatedly and recognized as significant in seeking and receiving support for faculty initiatives. Faculty members positively associated the Dean's practice of detail work with his depth of understanding on faculty issues. In this sense, his expert power (French & Raven, 1968) was elevated, which, in turn, would improve his administrative effectiveness (Podsakoff & Schriescheim, 1985; Chemers, 1997). The Dean's admitted hesitancy in delegating tasks may, in time, not be appropriate, given an expected rise in the maturity level of his staff. According to Hersey and Blanchard (1988), when a high level of maturity is reached, subordinates are both willing and able to assume responsibility and the leader should merely delegate. The applicability of this postulation, however, has been questioned (Bolman & Deal, 1997; Yukl, 1989).

The Dean does not exude the personal appeal and outgoingness typical of a charismatic leader (Field, 1998; House, 1977). His persona is typified by a notable unpretentiousness. Whether individual magnetism and a notable degree of extroversion are desirable ingredients for leadership in an academic setting, valuing collegiality, may be debated. Within the political sphere, however, the requisite nature of these traits, is undeniable. The Dean's confidence in his own abilities, determined efforts on behalf of the faculty and his ability to articulate a vision which was shared by faculty members is consistent with expectations commonly associated with charismatic leadership (Bass, 1990; Field, 1998).

Leadership Style

A variety of aspects pertaining to the leadership style exhibited by the Dean were alluded to in the findings section. His style, however, cannot be singularly categorized into one particular administrative approach. For example, no confirmation could be made as to whether his behavior could be defined as either directive or participative. Both of these dimensions were revealed and in that sense confirm McGregor's (1967) affirmation that inclusion of both approaches is related to effective leadership. The suggestion by one respondent that the Dean's style was characterized by "getting things done" would suggest a high task orientation. Certainly his close involvement in seeing projects through to completion would confirm this. The Dean's role in faculty renewal and issues of equity would also suggest a concern for idiographic dimensions. Yet I would not suggest, based on the findings, that his style fits with Blake, Mouton, and Williams (1981) "team administration" approach characterized by an equally high concern for institutional performance and for people.

Role modeling aspects of the Dean's leadership which were alluded to by both the Dean and various respondents are worth noting. His actions in "leading by example" may serve to fulfill the functional aspects of leadership particularly with respect to image and relationship development (Chemers, 1997). By being seen as committed and attentive to fulfilling the needs of the faculty in serving the university's mission, the Dean hoped to motivate members of his faculty to similar behavior.

The Dean placed great emphasis on linking authority with responsibility. He recognized the necessity to make "tough decisions" as being an integral component of

leadership. Although he acknowledged the need to discuss issues with faculty members, the Dean conceded that ultimately he must accept responsibility for resolving matters. Accordingly, it would seem that consultative processes (Vroom & Yetton, 1973) most regularly typified this Dean's style of leadership. Whereby circumstances dictated that decision making needed to be delegated to group processes, the Dean clearly articulated the need to ensure that those responsible were vested with the necessary power to resolve the matter. Yedidia's (1998) study placed value on the dean's ability to be flexible yet to act decisively. The findings of this study indicate that the Dean's willingness to accept responsibility for making the difficult decisions without wasting "an inordinate amount of time" was regarded positively by members of the faculty.

High value was placed by the respondents in this study on the problem solving capacity of the Dean. His ability to formulate an effective plan of action based on a thorough assessment of real data was noted. Being decisive and results oriented, according to Chliwniak (1997), suggests a bureaucratic orientation. The possession of technical knowledge regarding organizational operations and the capacity to problem solve are highly desirable within this framework (Baldridge, 1988). My sense, however, is that the emphasis placed on solving problems is significantly related to the cultural orientation of this particular faculty. The importance attributed to this aspect was evident in statements made by all of the respondents interviewed from within the faculty. High priority was placed on knowing "what has to be done and what it takes to do it." The Dean seemed very cognizant of the cultural realities of both his faculty and the university. His knowledge of the "in's and outs" of the faculty and the university, owing to a long-

term affiliation with that institution, was considered a definite asset. Understanding the cultural dimensions implicit to organizations of higher education has been related to leadership effectiveness (Birnbaum, 1992; Cooper & Kempner, 1993; Vaughan, 1994).

The Dean clearly recognized the collegial aspects related to administering the faculty. Reference was made of the need to cultivate a broad "understanding of the issues" and of the necessity of developing constituent support. His usage of consultative and group processes (Vroom & Yetton, 1973; Owens, 1995) is indicative of his recognition of the need to build consensus. The Dean's expressed concern for equitableness in the allocation of resources suggests a desire to maintain equality of opportunity consistent within an atmosphere of collegiality (Downey, 1996).

That the Dean utilized external linkages to develop support for faculty initiatives is recognition of his political astuteness. He admitted that his participation in a number of governmental and private agencies was specifically targeted towards cultivating relationships which would ultimately benefit his faculty and the university. The Dean's reputation within government circles was cited as instrumental in securing additional resources for the faculty. Mention was also made of the need to develop alliances within the university in presenting a common front on key issues. These networking and coalition building activities are reflective of the politicization of higher education (Bensimon, 1994; Chliwniak, 1997).

That the Dean was cognizant of the structural and cultural dimensions of his faculty and the university has been established. In conjunction with the political and collegial activities noted above, it can be construed that he invokes a multi-frame

perspective in administering faculty matters. This "cognitive complexity," according to Bensimon et al. (1989) and Birnbaum (1992), is requisite in facilitating a more balanced and comprehensive form of leadership.

Evidence brought forward in this study is suggestive that the Dean exhibited both transactional and transformational forms of leadership. Transactional aspects were revealed related to his acknowledgment of day-to-day management activities. The Dean emphasized the need to pay rigorous attention to the budget and matters pertaining to the faculty agreement such as promotion and tenure. One of the intentions of attending to these aspects was to foster a degree of satisfaction among faculty members. As the Dean noted, "if those things go wrong, that creates unhappiness, dissension and disillusionment." That faculty operations were handled in an efficacious and consistent manner and that policies were adhered to were highlighted. One of the department chairs pointed out the need to provide an appropriate environment for faculty members "so that they can do the things which they're good at." Basic organizational competence, according to Bensimon et al. (1989), is a principle tenet of effective transactional leadership. It was my impression, that these management activities were crucial to the perceived proficiency of the Dean and further served as foundation for transformational aspects of the Dean's leadership.

The Dean's achievements, particularly related to student recruitment and faculty expansion, are reflective of his attempts to transform aspects of faculty operations. By instigating entry level scholarships where none had existed and by forging ahead with expansion of the faculty's programs, the Dean demonstrated that he was not content to

merely maintain the status quo. Although these shifts may not seem like the type of radical changes which Birnbaum (1992) associates with transformational leadership, they do represent moves which other authors (Cameron & Ulrich, 1986; Gardner, 1990) have identified as transformative. The Dean suggested that his greatest accomplishment to-date was related to his ability to change the way in which the faculty is perceived. By prioritizing his role in "changing perceptions and causing those perceptions to lead to a new reality," the Dean underscored the importance of transformational leadership.

It would seem, therefore, that both transactional and transformational forms of leadership are integral to effective decanal performance. The Dean made reference to ensuring that the regular affairs of the faculty were in order but also stressed the need to instigate change. Focusing solely on transactional activities may provide an impression of competence, but without being seen to direct changes with the intent of fostering faculty operations, the dean may not be recognized as successful. As a member from central administration noted: "What makes a good dean is one that has a sense of how the faculty can move up a notch. . . . that has a way of making that transformational step."

Situational Components

The manner and degree to which situational events affected the dean's ability to lead was explored in this study. It was shown that the Dean adjusted his efforts in response to changing circumstances. As well as focusing on internal maintenance, Chemers (1997) emphasized the need for organizations to be externally adaptable. He highlighted the need for institutions to be sensitive, flexible and responsive. As shown in the findings of this study, these same characteristics can apply to leadership. The Dean's

ability to shift emphasis, re-order priorities and take advantage of opportunities was alluded to by several of the respondents.

Allen-Meares (1997) implied that situation-specific factors may be predictive of the successfulness of a dean's tenure. Faculty expertise, economic resources and social circumstances have been cited as impacting on the ability of the dean to lead effectively (Lasley & Haberman, 1987). The importance of faculty support for the dean's initiatives was advocated in this investigation. The impact of budgetary reductions was also alluded to, yet these were not seen to impede the effectiveness of the Dean. That he expends a substantial amount of time on fundraising endeavors is indicative of a willingness to adjust his efforts in the face of new realities. In fact, his ability to respond to changing circumstances was viewed positively by respondents both within and external to the faculty.

Reference was made in the literature of the more intense demands being placed on deans within the current economic and social environment. Daugherty (1998) notes that while deans are now held more accountable, he suggests that the degree of authority vested in their position has not correspondingly increased. Bensimon (1994), referring to the bureaucratic dimensions of the academy, characterized the institute as a relatively closed system. Describing the university of the 1970s as isolationist, the community representative corroborated this perception. Within the dynamics of the current marketplace, however, it would seem that the university has become more open. The Dean's service in a number of governmental, industrial and professional bodies outside of the university recognizes the mutuality of influentialness between the university and the

community-at-large of which it is part.

The Dean and department chairs noted the advantageousness of the Dean having come from within the institution--that he had served as a faculty member and administratively--prior to assuming office. In Cyphert and Zimpher's (1980) investigation, 57% of respondents assumed the deanship from within the same institution and 89% had served previously in an administrative capacity. That the Dean was aware of the level of support he enjoyed among faculty members at the outset of his deanship is also significant. The opportunity to discern this element of situational favorableness (Fieldler 1967), was helpful to the Dean in moving ahead with strategic endeavors. The ratification vote, procedural within this faculty, is suggestive of a political process within a collegial environment (Hardy, 1996). Selecting a dean in this manner, provides "grass roots commitment" by involving all faculty members.

Areas of Performance

Comparing the data obtained concerning areas which were seen as demonstrative, in this case, of decanal performance, to the data relating to the role of the dean reveals several consistencies. That this Dean was considered to have increased the faculty's stature within and external to the university matches directly the dean's role, alluded to by several of the respondents, in raising the profile of the faculty. Recognition of the Dean's achievement in improving the resource base of the faculty corresponds to the ascribed decanal function of securing the necessary resources. The Dean's acknowledged performance related to faculty renewal, student recruitment and program expansion is very much related to his identified role in fostering teaching, learning and student achievement.

That these areas of performance are positively associated with the perceived functions of the dean, are illustrative of his effective leadership.

The value placed on the Dean's recognized efforts in acquiring superior new faculty members is corroborated by the findings of Lasley and Haberman's (1987) study. In their survey, evaluative criteria for deans were assessed on a scale from 1--representing limited importance, to 5--representing great importance. That the dean chooses and supports quality faculty received a mean score of 4.94. It was the highest rated item in their survey and indicative of the perceived importance of faculty renewal in relation to the dean's performance.

The Dean's efforts related to recent plans for faculty expansion is demonstrative of his commitment to furthering his faculty's service within the university and to the community-at-large. In many respects his actions, in promoting this endeavor, are in direct opposition to the "caretaker" form of administration alluded to by Blake, Mouton, and Williams (1981). Characterized by a desire to "go through the motions," they refer to this type of administrator as demonstrating a "hollow commitment to the academic enterprise" (p. 46). Comments from a variety of the respondents suggested that this maintenance classification of a dean was not desirable.

The Dean's performance with respect to student recruitment has two facets which are worth considering. Firstly, improving the quality of the students entering the faculty was an area which the Dean set out to accomplish and, in fact, delivered. The significant increase in the minimum acceptable entry average is indisputable. That the Dean was able to accomplish this goal within a short span of time (a progressive improvement in the

minimum entry grade-point-average has been realized over the past four years) demonstrates his ability to follow through with a commitment. Secondly, the Dean's activities within this realm are acknowledgment of the increasing importance attributed to recruitment within postsecondary institutions. That a high ranking official within central administration identified recruitment as one of five important gauges of decanal performance is illustrative of this emphasis. Given the linkage between governmental funding and student enrolment, the rationale is clear. Greater competition between institutions for postsecondary students has characterized the 1990s (Andrews, 1992). It would seem that this trend will continue into the twenty-first century, particularly given shifting demographics and the potentialities of accessibility provided by the Internet. Correspondingly, the effectiveness of the dean may be highlighted by his or her faculty's performance in the area of recruitment.

Recruitment as well as other faculty endeavors were facilitated by the strides which were made in enhancing the stature of the faculty within both the university and the community. Representatives from central administration, the faculty and the community indicated that the Dean had done an excellent job in advancing the position of the faculty. The Dean was perceived to have developed good relations with key stakeholders. Martin (1993) recognized that effective deans served as cultural representatives and advocates for their institutions. She noted the importance of cultivating relationships with "various groups and individuals on campus, in professional organizations, in the legislature, and with alumni" (p. 32). The findings in this study recognized the Dean's actions in making these important connections which allowed him to advance faculty initiatives.

The Dean's efforts in improving the resource base of the faculty were, by his own admission, critical within today's economic environment. Kwong (1993) suggested that Canadian universities must now operate in "an age of austerity." Financial considerations, according to Vale (1994), are dominating decision making. Certainly there seems to be greater emphasis placed on fiscal restraint and overall budget accountability. Complete reliance on unconditional government funding of postsecondary education appears to be a circumstance of the past. As a result, efforts to secure funding through: (a) meeting conditions linked to governmental funding; and (b) exploring other sources, such as individual donors and corporate sponsorships, are receiving greater attention. Recognition of the Dean's performance in these areas verifies the growing significance attributed to resource issues.

Essential Leadership Components

The significance of articulating a vision has been identified in this study and is well substantiated in the literature (Barker, 1984; Bennis, 1997; Dill, 1980; Matczynski, Lasley, & Haberman, 1989). The findings also indicated that the ability of the dean to see a vision through to realization is the crucial other half of the equation. Stogdill (1974) associated leadership effectiveness with a determined effort towards task completion in "pursuit of goals." The practical aspect of ensuring that goals are achievable was highlighted by respondents in this study. In alluding to the responsibility of leadership to "manage attention and meaning," Bennis (1997) did recognize the importance of conveying a vision which is tangible.

Birnbaum (1992) and Vaughan (1994), referring to presidential leadership, both

stressed the importance of understanding the institution. Vaughan noted:

> Understanding the institution is more than knowing the institution's organizational chart, budget, or funding source, or knowing members of the college community by their first names. Understanding the institution means knowing its history--knowing why it exists and why it would matter if it did not exist. It means knowing something about its students and its programs, seeing the institution through the perspective of the larger society and knowing its impact on that society. Through understanding an institution, one knows its potential and its limitations. (p. 62)

It would seem that this same understanding applies to decanal leadership. That the dean must be fully cognizant of the organizational dynamics of the faculty and the university was recognized in this study. Comprehending the institution, as Vaughan (1994) confirms, is fundamental to effective leadership.

The ability of the dean to generate faculty support was another critical element identified. The dean's effectiveness is ultimately based on faculty performance, therefore, his or her ability to secure the "necessary contributions" (Barnard, 1938) remains essential. Dill (1980) recognized the need for the dean to facilitate participation by faculty members and to transform this energy in advancement of faculty goals. Referring to the independent nature of academic faculty members, one respondent suggested that bringing members "on board" with initiatives may be one of the biggest challenges of decanal leadership. According to Chemers (1997), effective leadership depends on building a relationship with subordinates that results in "highly motivated, mission oriented, and goal directed team members" (p. 155). Within an academic environment, Birnbaum (1992) suggests that a leader "who is able to command support of constituents . . . has met the needs of multiple and conflicting stakeholders and has a claim to be considered a good

leader" (p. 56).

That the leader should display an overall sense of faithfulness in fulfilling his or her responsibilities was also reflected in the findings. The Dean stressed the importance of maintaining his focus on conducting the affairs of the faculty. Daugherty (1998) noted that "a good leader must, above all, curtail his or her own ego in order to make the kinds of decisions that meet the needs of the institution" (p. 652). Although related characteristics such as dependability and willingness to assume responsibility were identified in Yukl's (1989) composite list of traits most frequently associated with successful leaders, dedication to the position was not highlighted. Nevertheless, it was clear from the respondents in this study that a selfless dean, who demonstrated ongoing commitment to the faculty, was highly valued.

Summary

Based on this discussion of the findings, in relation to the literature reviewed, a number of inferences can be made. In reference to the decanal role, it would appear that endorsement of the dean as CEO may be an emerging trend, particularly owing to an increasing emphasis on a business model of administration. Recognition of the dean as a middle manager, although purported in the literature, was refuted by the findings in this study. Literary evidence was elicited in support of the dean's role in setting faculty direction, securing needed resources, fostering teaching and learning, and raising the profile of the faculty.

Characteristics such as the Dean's organization, commitment, consistency and astuteness were well substantiated in the literature. Not well evidenced in related studies,

however, was the Dean's attention to detail and humbleness. The Dean's leadership style was difficult to characterize according to one of the many approaches cited in the literature. It would seem that he was cognizant of the various contextual frames evidenced in the university and, as such, exuded a balanced and comprehensive form of leadership. His decisiveness and problem solving capacity appeared to be highly valued and, consequently, may be a reflection of the cultural orientation of that particular faculty. It was also clear that both transactional and transformational forms of leadership were displayed.

The responsiveness of organizations to situational variables was alluded to in the literature. Based on the findings of this study, it was shown that this responsiveness was applicable to leadership as well. The capacity of the dean to adjust efforts in the face of changing circumstances was emphasized.

The Dean's performance related to faculty renewal as well as improving the overall stature of the faculty, are areas which received support in the literature. Recent expansion activities are illustrative that the Dean is not merely focused on maintaining the status quo. Owing to an increasingly competitive postsecondary marketplace, his actions related to student recruitment and improving the faculty's resource base, may be a developing trend.

The necessity of articulating common goals received substantial support in the literature. Corroborated by the findings, this study also emphasized the Dean's ability to "follow through" and ensure the realization of goals. In this sense, his selfless dedication to the position of dean was warranted. Finally, it was shown, both by the findings and related research, that organizational understanding and mobilization of support are areas

critical to leadership effectiveness.

CHAPTER SIX

Summary of Findings, Conclusions and Recommendations

This final chapter provides a summarization of the evidence brought forward in the conduct of this study. Conclusions, reached in response to the research questions posed, are presented. Based on these results, recommendations are made with respect to future practical and theoretical endeavors.

Responses to the Research Questions

This investigation was guided by one main research question and six related sub-problems. The following discussion recapitulates on the results of the questions raised. The sub-problems will be addressed first as these findings help to formulate the response to the main research question. Owing to the congruency between the feedback obtained from the Dean with that of the other respondents, sub-problems 1 and 2 are dealt with together.

Sub-Problems 1 and 2

1. *What is the perception of the role of the dean from the perspective of the Dean?*
2. *What is the perception of the role of the dean from the perspective of the faculty members and other individuals outside of the faculty?*

The role of the dean was seen to incorporate six inherent responsibilities. These included: (a) overall faculty management, (b) setting direction, (c) securing resources, (d) raising the profile of the faculty, (e) maintaining harmony, and (f) fostering teaching and learning.

As chief executive officer, the accountability of the dean for the overall

management of faculty affairs was recognized. Although the Dean and other respondents stressed the importance of not "micro-managing" the faculty, they did acknowledge the need for the dean to be well appraised and directed towards faculty concerns and activities. Linkage of responsibility and authority was seen as essential whether managerial aspects were assumed or delegated by the dean. Recognition of the dean as "CEO" reflected on this sense of overall accountability yet was also attributed to the recent accentuation of financial considerations in higher education, thereby advancing a business oriented approach to faculty administration. Consideration of the decanal role within the confines of "middle management" was invalidated by the respondents in this study.

In setting direction for faculty endeavors, the necessity for the dean to impart an executive vision which faculty members could identify with and which would be seen as compatible with the university's mission was recognized. So was the need for the dean to devise appropriate strategic initiatives in order to ensure the realization of identified goals.

The responsibility of the dean in ensuring the procurement of sufficient resources for faculty operations was also highlighted. Owing to a heightened awareness concerning economic matters, related, in part, to recent changes in funding patterns, decanal attention with respect to financial well being was emphasized. In this regard, the Dean's commitment to fundraising activities was acknowledged by many of the respondents. Additional resource issues which were seen to command the Dean's attention were the need to attract and keep excellent academic staff as well as to recruit "quality" students into faculty programs.

Both internal and external dimensions were revealed in conjunction with the dean's role in profiling the faculty. Emphasis was placed on the advocacy capacity of the dean in representing the faculty's interests to central administration as well as other university constituents. The need to establish relationships with professional bodies, government and community agencies was also alluded to. The importance of these linkages related very much to the increasing reliance of the university on additional sources of assistance and revenue.

Maintaining a harmonious atmosphere within the faculty was another role attributed to the dean. The ability to foster an environment which would be seen as conducive to individual faculty members in the performance of their duties as well as provide for a sense of equality and collegiality was viewed as important. In this sense, the ability of the dean to intervene in a sensitive and diplomatic fashion was highlighted.

In conjunction with the university's mission, the dean's role in fostering teaching, research and student achievement was recognized. Emphasis was placed on "not losing touch with the academic operation." That decanal activities were seen to support and promote the core activities of the university was underscored.

Sub-Problem 3

What personal characteristics of the dean are viewed as contributing to his or her effectiveness?

Six features of the Dean's character were isolated in relation to his perceived effectiveness. Noteworthy were his: (a) attention to detail, (b) organization, (c) commitment, (d) credibility, (e) astuteness, and (f) humbleness. The Dean's depth of

understanding concerning faculty matters, his thorough analytical abilities, and his high level of preparation were well recognized. This capacity for detail was positively linked with the Dean's ability to promote the faculty's position to key university and non university constituents as well as his ability to inspire confidence in the administrative capabilities of his faculty. His attention to organizational functionality and efficiency were reflective of his desire to enhance the overall operation of the faculty.

Evidence was brought forward indicative of the degree of commitment, both in terms of time and energy, demonstrated by the Dean. His capacity to see projects through to completion was a commonly held perception and indicative of his determined efforts on behalf of the faculty. The need for the dean to remain focused on "what is good for the organization" rather than rooted in personal ambition was raised by the Dean as well as several of the respondents. High priority was placed on the Dean's personal credibility. Trustworthiness, integrity and consistency were highlighted. By eliciting a "straightforward" approach, the Dean demonstrated a level of reliability which was respected. His record of achievement, in both research and teaching endeavors, also added a measure of credibility as a leader within an academic environment.

The Dean was perceived to be an astute individual who exhibited an insightful and logical approach in addressing faculty concerns. He did not exude the personal appeal and outgoingness commonly associated with charismatic leadership, yet his own humbleness did not detract from a recognizable strength of character. That the Dean was cognizant and confident in his own abilities was reflective of his own inner strength. Comments from respondents suggested that the Dean's attributes were well known and confirmed the

consistency of his approach and persona.

Sub-Problem 4

What leadership behaviors or style is positively associated with effectiveness?

The Dean's leadership style was perceived to include consideration for both nomothetic and idiographic dimensions. His concern for issues related to faculty renewal and equity demonstrated his attention to relationship development yet his affinity for "getting things done" reflected an inclination towards task completion. The faculty's problem solving orientation was definitely encapsulated by the Dean's behavior. His proclivity of being able to assimilate "real" data and formulate an effective plan of action was emphasized. The Dean's actions indicated close involvement in the workings of the faculty and a willingness to address the "tough issues." His attitude in accepting responsibility for decision making reflected on his self declared and corroborated style of leading by example. It was in my estimation that "by being seen to do things" the Dean hoped that his commitment toward faculty endeavors would, in turn, raise the performance level of individuals within the faculty.

Sub-Problem 5

What situational events are seen as either contributing to or hindering leadership effectiveness?

Investigation into situational aspects revealed that effective leadership should not be restricted by circumstances affecting faculty and university operations. Although it was acknowledged that certain events may "push a dean in a particular direction," the ability of a dean to adjust his or her efforts, while still pursuing faculty goals and aspirations, may

provide an indication of effectiveness. The Dean's capacity to capitalize on opportunities as well as manage events which were seen as potentially detrimental to the faculty was recognized.

In assuming the deanship, the condition of the faculty, with respect to both structure and function, was recognized as an important variable affecting the dean's ability to press ahead with initiatives. So too was the degree of faculty support for the dean. In this case, a ratification vote appraised the Dean concerning the high level of support he enjoyed at the time of his selection. Nevertheless, acknowledgement of the need to maintain decanal support and to "build a broader understanding" concerning faculty endeavors and direction was made.

Sub-Problem 6

Performance in what areas are associated with an effective tenure as dean?

The Dean's performance was associated with achievement in five defined areas: (a) improving the stature of the faculty, (b) student recruitment, (c) expansion, (d) faculty renewal, and (e) increasing the resource base. It was shown that the Dean's efforts in improving the profile of the faculty, both within and external to the university, fostered the advancement of other initiatives--notably recruitment and resource procurement. Perhaps this is why the Dean recognized his contribution in "changing perceptions and causing those perceptions to lead to a new reality" as being his most significant contribution. In this respect, improving the reputation of the faculty is notably linked to other areas of performance.

Improving both the quantity and quality of student applications for entry into

faculty programs is noteworthy, particularly given the growing concern regarding maintaining university quotas. Attention to student recruitment has been discussed as an emerging trend, attributed chiefly to changing demographics and increasing competition between postsecondary institutions. The Dean's efforts in expanding the faculty operation by approximately 30% may indeed be his lasting legacy. Irrespective of the size of this expansion, the Dean's belief that "operating at a steady state" is not a viable option, is worth considering. Owing largely to concerns over resource allocation, maintaining the status quo, it was felt, would result in a curtailment of the dean's effectiveness.

The Dean's activities related to the acquisition of a number of new faculty members were duly recognized. His involvement included an enormous time commitment in interviewing candidates and by ensuring that needed incentives were available. Finally, the Dean's efforts towards improving the faculty's resources were acknowledged. The significance attributed to securing funds for faculty endeavors was reinforced in the findings of this study and corroborated by recent literature. Recognizing financial concerns in the "current environment and for the foreseeable future," the Dean associated decanal effectiveness directly with the procurement of additional resources.

Main Research Question

What are the necessary requisites for a dean to be perceived as being effective?

Foundational to leadership effectiveness is the need for the dean to truly understand the dynamics surrounding the operation of the faculty and the university. As one writer simplistically noted, "how can you lead if you don't know what it is that you are leading." The dean must be fully cognizant of: (a) the role expectations associated

with the deanship, (b) the inherent cultural values, expectations and concerns of the faculty and of the university, (c) the structural and functional components of faculty and university operations, (d) the capabilities of faculty personnel, and (e) the community of which the university is part. The advantage of selecting a dean who is familiar with the "in's and outs" of the faculty was alluded to in this study. Indeed the Dean's lengthy tenure with the faculty, together with his administrative experience as associate and acting dean, provided him with a thorough understanding of the potentialities of his faculty.

Second, the dean must possess the necessary attitude, personal qualities and leadership technique. An overriding dedication to the position and to the institution was viewed as critical. Characteristics of the dean investigated in this study which were associated with his effectiveness and corroborated in the literature were his commitment, credibility, consistency, astuteness and organizational abilities. Also noteworthy were the Dean's humbleness and his attention to detail. That the Dean was "true" to his own character is indicative of the need for leaders to apply themselves--recognizing their own strengths and limitations--in advancement of institutional goals. The Dean's acknowledged style of leadership by example was reflective of this attitude. Importance was attributed to ensuring congruency between the leadership style of the dean and the prevailing values of the faculty. In this manner, the Dean's decisiveness and his problem solving capacity were consistent with the expectations expressed by faculty members. The need for decanal leadership to demonstrate consideration for both task completion and relationship development was also supported in this study.

Third, importance was placed on the need for the dean to set faculty direction

through the conveyance of an executive vision supported by strategically designed initiatives. The ability of the dean to elicit the support of faculty members, as well as influential individuals within and external to the academy, may be linked to effective communication of purpose. Setting goals which reflected the collective aspirations of faculty members and were consistent with the overall university mission was recognized as obligatory. Just as significant, was the ability to plan effectively for goal realization.

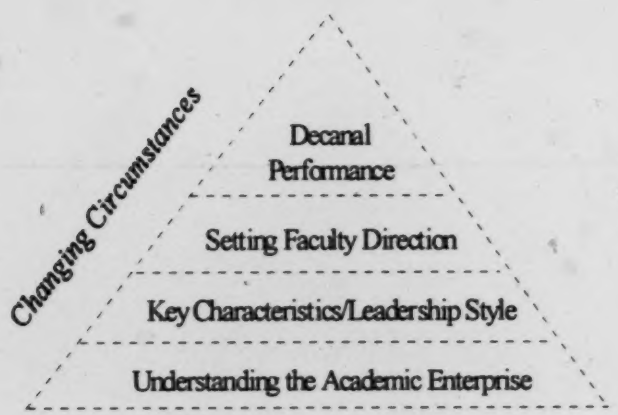
Fourth, a dean's effectiveness is judged in relation to his or her performance. The dean must be able to translate his or her understanding of the institution, abilities and vision into constructive action. The Dean acknowledged the importance of ensuring effective day-to-day management activities together with the implementation of measures in order to ensure "the broader vision." By improving the faculty's profile, increasing the resource base and enhancing the quality of students and faculty, the Dean demonstrated that he could fulfill targeted goals which were seen as significant by members of the academy. The need to act beyond maintaining the status quo was highlighted and reinforced by the Dean's actions in securing a 30% expansion of faculty programs.

Finally, it must be recognized that decanal leadership cannot exist in a vacuum. It has been suggested that situational events should not impede an effective dean's capacity to lead. In this respect, an ability to adjust efforts in response to changing circumstances is warranted. The Dean in this study was shown to: (a) take advantage of available opportunities, and (b) adjust to conditions with potential adverse affect to the faculty. The need to be continually abreast of, and adapt effectively to, changing values and circumstances is implied.

Theoretical Outcomes

The findings derived through investigation of the research questions provided enlightenment into the leadership efficacy of the dean examined. Application of these results to other deanships or leadership within other domains may be possible. As a result of this investigation, broad categorizations requisite to effective decanal leadership were identified. The following schematic (figure 6-1) serves to isolate these dimensions more effectively.

Figure 6-1
Conceptual Framework



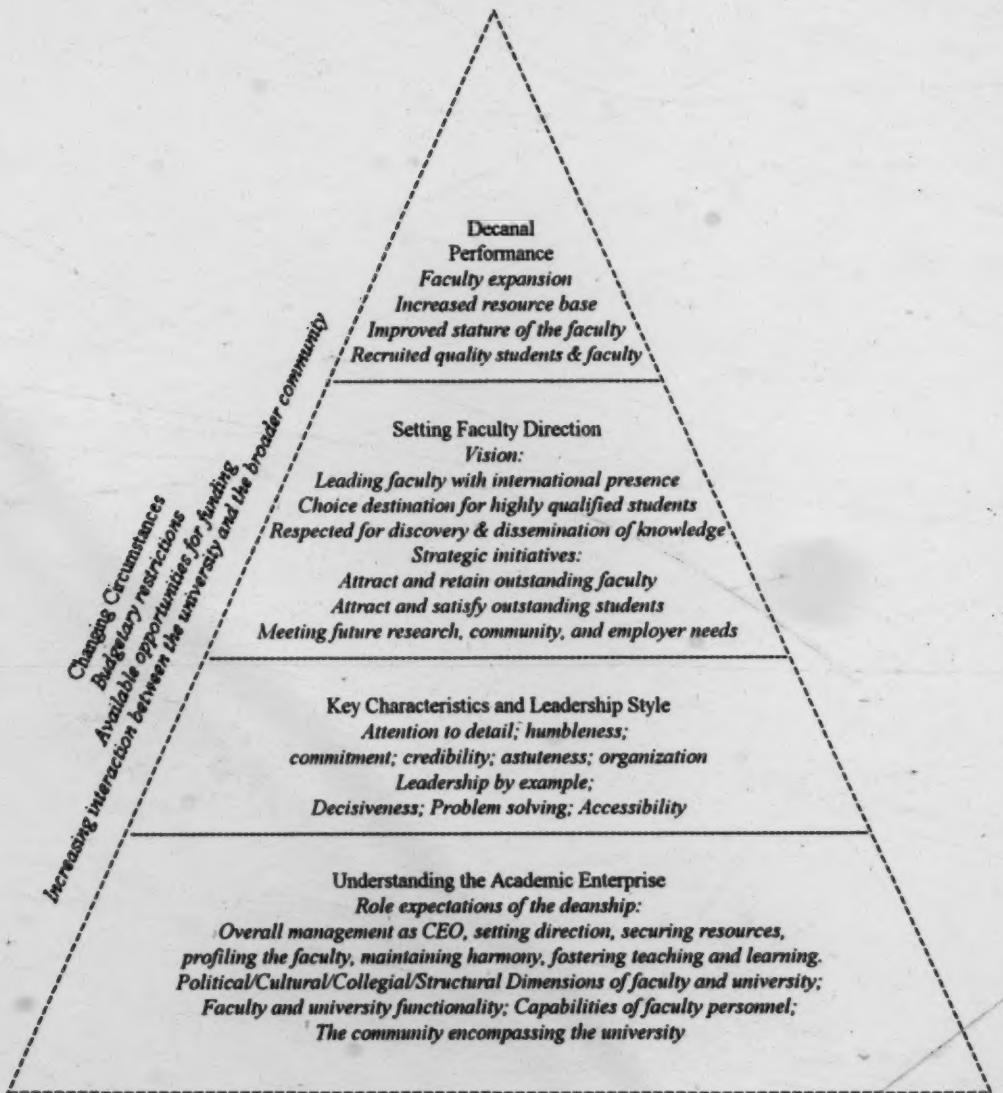
This framework provides a means for understanding the requirements for effective decanal leadership. The pyramidal shape is utilized to consider the inter-relatedness of the various dimensions identified in this study. The areas incorporated into this model build on each other to facilitate an effective leadership situation. The dean's depth of understanding

concerning the dynamics of his or her academic enterprise forms the basis for the provision of effective leadership. Additionally, the dean must possess certain personal qualities, several of which have been discussed in this study and cited in the literature, and a leadership style which is conducive to the faculty being led. Utilizing these abilities, and based on his or her understanding of the institution, the dean must set faculty direction through the articulation of a vision and the development of strategic initiatives. Finally, the dean must perform in a manner which moves the faculty forward in the directions which were set. Throughout this whole process, the dean must be adaptable to altering conditions. The broken lines suggest the need for openness in consideration of changing circumstances both within and external to the academy.

Application

To demonstrate the applicability of this framework, some of the findings identified in this study have been integrated as shown in figure 6-2 on the following page. For example, *understanding the academic enterprise* incorporates: (a) the role expectations associated with the deanship; (b) recognition of relevant political, cultural, collegial and structural dimensions; (c) understanding operational aspects of the faculty and university; (d) personnel appraisal; and (e) knowledge of the community-at-large. Similarly, key aspects of the Dean's character and style have been incorporated as have aspects of his vision, strategic initiatives and areas of performance. Additionally, some of the circumstances impacting the Dean's tenure have been included.

Figure 6-2
Application of Conceptual Framework


Decanal
Performance
Faculty expansion
Increased resource base
Improved stature of the faculty
Recruited quality students & faculty
Setting Faculty Direction
Vision:
Leading faculty with international presence
Choice destination for highly qualified students
Respected for discovery & dissemination of knowledge
Strategic initiatives:
Attract and retain outstanding faculty
Attract and satisfy outstanding students
Meeting future research, community, and employer needs
Key Characteristics and Leadership Style
Attention to detail; humbleness;
commitment; credibility; astuteness; organization
Leadership by example;
Decisiveness; Problem solving; Accessibility
Understanding the Academic Enterprise
Role expectations of the deanship:
Overall management as CEO, setting direction, securing resources,
profiling the faculty, maintaining harmony, fostering teaching and learning.
Political/Cultural/Collegial/Structural Dimensions of faculty and university;
Faculty and university functionality; Capabilities of faculty personnel;
The community encompassing the university
Changing Circumstances
Budgetary restrictions
Available opportunities for funding
Increasing interaction between the university and the broader community

Concluding Statements

The following statements provide a brief summarization of the conclusions reached in the conduct of this study.

1. As chief executive officer, the dean's role encompasses full authority and responsibility for the administration of the faculty. In this sense, the dean was not seen to operate as a middle manager.

2. In addition to ensuring effective management of faculty operations, responsibilities associated with the deanship include setting faculty direction, securing resources, raising the faculty's profile, maintaining harmony, and fostering teaching and learning.

3. The leadership style exuded by the dean should correspond with the mores and expectations held by faculty members. That the Dean's approach reflected an apparent faculty emphasis on problem solving is evidence of this desired congruency as well as indicative of the relative importance ascribed to this attribute.

4. The Dean was characterized as a credible, humble and committed individual whose astuteness, organizational abilities and attention to detail were notable. These characteristics were viewed as key elements in optimizing the Dean's effectiveness.

5. The Dean's willingness to address organizational functionality and his proclivity for seeing projects through to completion has been noted. Nevertheless, the need for decanal consideration of both nomothetic and idiographic organizational dimensions was recognized.

6. The necessity for the dean to adjust efforts in order to maximize faculty benefit

in response to changing conditions was highlighted in this study. That decanal effectiveness should not be diminished by events which might be seen to negatively impact the faculty was implied.

7. The heightened importance associated with resource issues in the administration of postsecondary education was confirmed in this study. Evaluation of the Dean's ability to procure resources in support of faculty activities was a significant factor in recognizing his effectiveness.

8. Acknowledgment of the Dean's actions related to student and faculty recruitment, faculty expansion and improving the faculty's status was elicited. Together with increasing the resource base, these areas of performance served as important gauges of decanal performance in fulfillment of identified strategic initiatives.

9. Inferences were made in this study that the dean should always be focused on enhancing faculty operations. Simply maintaining the condition of the faculty as it existed prior to the Dean's assumption of office was seen as incongruent with decanal effectiveness.

10. The Dean's effectiveness appeared to be rooted in his firm grasp of the issues and concerns surrounding the operation of his faculty, the university and its role within the community. His administrative experience together with his lengthy tenure with the faculty, both as a student and faculty member, certainly contributed towards this solid basis of understanding.

11. The capacity of the Dean to translate vision into reality served as a determining feature of his effectiveness. The importance of articulating an appropriate

vision for the faculty's future, designing a constructive plan of action, and seeing goals associated with that vision realized, were significant elements highlighted in this study.

12. It was emphasized in this study that the dean's actions must be guided by what is right for the faculty and not rooted in personal ambition.

Recommendations for Practice

Owing to the singular case study design of this qualitative study, it is not my intention to offer broad generalizations concerning decanal leadership. Nevertheless, in reflection of the conclusions reached, the following recommendations are offered for consideration.

1. Aspirant deans must be familiar with the various dimensions of the decanal role and possess a sound understanding of the dynamics surrounding university administration. Recognition of, and attention to, the political, structural, collegial and cultural realities is warranted. The benefit of previous service--particularly administrative experience--within the particular faculty being led cannot be ignored. The degree to which a dean comprehends both the strengths and weaknesses of his or her faculty, will pay dividends in his or her ability to determine and design effective strategic initiatives. That the dean must be "in tune" with faculty concerns is intimated.

2. Owing to an increasing openness between the university and its environ, the dean must recognize the need for greater attention to external relations. Liaison activities with, and participation in, professional, governmental and community groups, is implied. This is particularly true given the increasing reliance on: (a) non-governmental forms of support, and (b) governmental support which is linked to specific conditions. Due, in part,

to significant advances in telecommunication technology, university faculties must recognize the importance of paying attention to regional, national and international developments.

3. Deans must not overlook the internal dimensions of their respective faculties. They must ensure the effectiveness of the day-to-day operations since a faculty's reputation resides greatly in its ability to manage its affairs and in conducting quality programs and research. Nevertheless, even if the current state of the faculty is highly regarded, the dean should not be satisfied with merely maintaining the status quo. Measures must be taken to improve faculty operations. Decanal initiatives targeted to either enhance or advance teaching, research and community services must be employed.

4. Students are the livelihood of any educational endeavor. Due mainly to increasing competition between postsecondary institutions and changing demographics, deans must pay greater attention to matters of recruitment and retention. Especially in larger institutions, faculties can ill afford to rely totally on university-wide initiatives to draw qualified students in sufficient numbers.

5. With economic realities increasingly dominating decision making, deans must be fully conversant with matters pertaining to the financial status of their respective faculties. Competency in dealing with budgetary matters cannot be overemphasized. Increasing concern and attention towards ensuring the financial stability of the faculty is becoming a dominant theme.

6. Decanal effectiveness is directly linked to goal realization. Constituents must see evidence that the faculty has moved in the direction of the goals articulated by the

dean in setting forth his or her executive vision for the faculty. As part of an increasingly "results oriented" society, decanal efforts will be evaluated largely on the overall performance of the faculty. In this sense, although the dean must attend to both nomothetic and idiographic dimensions, greater emphasis may need to be placed on task completion.

7. Although the leadership style of the dean will ultimately reflect the expectations held by faculty members, it seems clear that individuals with the ability to resolve issues of increasing complexity will be in demand. Given the ethical implications inherent to problem resolution within an educational enterprise, leaders who are noted for their integrity and consistency of character should receive attention. Decanal resourcefulness in maintaining a sense of organizational stability in expectation of a more rapidly paced existence in the twenty first century will undoubtedly be called for.

8. Finally, decanal activities must be guided by an overriding sense of dedication to the institution. As chief executive officer for the faculty, the demands of the position--both in terms of time and energy, are great. The need exists, therefore, for the dean to concentrate his or her own personal resources towards serving the best interests of the faculty.

Recommendations for Further Research

Based on the conduct of this study and the nature of the findings, I would like to offer the following suggestions concerning future research endeavors in the area of academic leadership with particular emphasis on the role of the dean:

1. The majority of the data obtained in this study was derived through interview.

Augmentation of this study to include a lengthy observation period may provide further substantiation and development of the themes revealed herein. Willingness of the Dean to allow a researcher to "shadow" him in the conduct of faculty affairs over a period of time may prove illuminating.

2. A comparative study between a situation whereby the dean is perceived as effective, such as the case examined, and one in which the dean is viewed as ineffective may provide an indication as to the validity of the elements of effectiveness described in this study. It would be interesting to note which, if any, of the identified requisites may be critically absent in a dean who is performing ineffectively.

3. Expansion of this type of qualitative research to include other cases of effective decanal leadership in a variety of faculties at different universities. This would allow multiple viewpoints to be evaluated and provide further substantiation or repudiation of the conclusions reached. It would also be valuable in seeing if the issues raised in conducting this study are applicable to deanships in other settings.

4. Further investigation to evaluate whether the findings of this study are transferable to other leadership positions within the university setting might prove worthwhile. Additionally, it might be interesting to compare the results of this study to leadership within non-educational environments such as the business sector.

Final Remarks

There is always a need, I believe, for truly effective leaders. My motivation for conducting this study was generated by an interest in leadership at the faculty level. Having had the opportunity to investigate a dean who was performing effectively was both

illuminating and rewarding. I am indeed grateful to the Dean and all of the participants for sharing their knowledge and experience with me.

My intention in conducting this research was primarily to provide an accurate portrayal of the dimensions associated with effective decanal leadership. It was my desire that the findings of this study would sufficiently add to the existent knowledge base concerning this important subject. Ultimately, it is my fervent wish that this research will facilitate the development of effective leaders. I hope that in some measure I have succeeded.

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Appendix A

Consent Form for Participants

Leadership in an Academic Environment:
An Examination of the Role of the Dean

Researcher: Sharon Bookhalter
MEd student in Administration of Postsecondary Administration
Educational Policy Studies
University of Alberta

Supervisor: Dr. Mike Andrews

I understand that I am volunteering to participate in a study in which I will be asked to describe my thoughts, beliefs and experiences with respect to leadership effectiveness and the role of the dean. I am willing to share my thoughts and experiences with the researcher, but I understand that I can withdraw from the study at any time without prejudice, and that I do not have to answer any questions that I do not want to answer.

I understand that the interview will take approximately 60 minutes and will be audio taped. I also understand that I may be asked to review the transcriptions and/or analyses obtained from the audiotape.

Information obtained from the interview will be used for Sharon Bookhalter's Masters Degree Thesis and possible future publications.

The study has been explained to me, and I have had the chance to ask questions about the study. I understand that the name of the faculty and my identity will be kept confidential, by changing my name and identifying factors whenever possible, in any reports written about the study. The audiotapes will be kept secure, and will be destroyed when the study is completed.

I am satisfied that I have been given sufficient information about the study, and I am willing to participate in the study by sharing my thoughts and experiences.

_____ _____

Date Participant

_____ _____

Date Researcher

Appendix B

Sample Interview Schedule

Participant

Please describe...
- Your current Position
- Length of tenure with the university
- Nature of your association with the dean

What is your perception of the dean's role?
- Has this changed over time?

Of the dean's various responsibilities, what should receive the greatest emphasis?
- Why?

Please comment on the dean's leadership
How would you describe the dean's leadership capacity?
What leadership behaviors do you consider as being most effective?
What personal traits have contributed to his/her effectiveness?
Comment on his/her leadership style
Does the dean have a vision for the faculty?
- If so, is how is this viewed by faculty members
- How important is this?

Comment on the degree of support for the dean within the faculty.
Could you describe any events which may have helped or impeded the dean's effectiveness?

What factors are important in considering the dean's overall performance?
How would you rate the dean's performance to-date?
- What has been his/her greatest accomplishment?
- What has been his/her greatest disappointment?

What major effects have the dean's leadership had on the faculty?
What criticisms concerning his/her leadership are you aware of?

Is there anything you'd like to add to the discussion about the dean?

Is there anything you'd like to say about leadership in general?